

# **USAID/MONGOLIA**

## **RESULTS REVIEW AND RESOURCE REQUEST (R4)**

**30 MARCH 2001**

**Please Note:**

The attached FY 2003 Results Review and Resource Request ("R4") was assembled and analyzed by the country or USAID operating unit identified on this cover page.

The R4 is a "pre-decisional" USAID document and does not reflect results stemming from formal USAID review(s) of this document.

Related document information can be obtained from:

USAID Development Experience Clearinghouse  
1611 N. Kent Street, Suite 200  
Arlington, VA 22209-2111  
Telephone: 703/351-4006 Ext. 106  
Fax: 703/351-4039  
Email: [docorder@dec.cdie.org](mailto:docorder@dec.cdie.org)  
Internet: <http://www.dec.org>

*Released on or after Oct. 1, 2003*

## MEMORANDUM

To: Karen Turner, Acting AA/ANE  
From: Edward Birgells, Mission Director  
Subject: Mongolia R-4 Cover Memo  
Date: March 30, 2001

We are now at the mid-term of USAID's strategy for Mongolia. The strategy is still relevant and there is an excellent probability that USAID will achieve many of its stated objectives. USAID has taken the lead in reform and has begun innovative programs in rural development and competitiveness. In some areas, such as the financial and energy sectors, USAID has served as a catalyst preparing the way for the multi-laterals to undertake more extensive programs.

The newly elected Mongolian Peoples Revolutionary Party is pursuing a significant reform program, which certainly deserves USAID's support. The reformers within the Party, headed by Prime Minister Enkhbayer, are in charge for the time being. The reformers are a minority in the Party, but appear to be as committed to reform as any of the members of the previous Democratic Union Coalition government. Their task in the coming months will be to balance the need to proceed with reform efforts with the often contradictory demands of other non-reformist members of the Party, who hold powerful positions in the government. These hard-liners want to continue to exert personal or state control over assets. It will be critically important to keep monitoring these developments, as well as any changes in the political situation, particularly after the Consultative Group meetings in Paris. We should continue to demand action in the reform program rather than just accepting plans as a condition for our support. The MPRP wants the approval of the United States, and realizes the importance of the assistance we are providing through the USAID program. We should support the reformers to achieve their stated objectives. USAID certainly has the flexibility and quick response capability already built into the program to respond to this challenge.

Donor coordination has improved in the financial sector and the judicial sector; key areas we have taken the lead in. Coordination of donor efforts has to be developed for the power sector and for rural development, which will soon emerge as a key area due to the impact of the severe winters, drought and unsustainable land-use. The Ambassador has made donor coordination one of his key areas of interest and has started discussions with other donors and embassies to begin to address this serious issue.

I am convinced that Mongolia can become a relatively prosperous country in the next decade, if the Mongolians do certain things right in developing foreign markets and attracting both domestic and foreign investment. The foundations for doing this are now being laid through the USAID and some donor programs. The key area that is not being addressed is public sector reform. The public sector has not yet evolved from its command position in Soviet times and is generally inept and in many cases corrupt. The beginning of true civil service reform is probably a few years away and it won't be voluntary. However, donors must begin to demand certain changes in the government if

public sector reform is to eventually take place. A good place to start is with public sector finance by starting to demand accountability and transparency in public sector budgets and expenditures. It will take time and a lot of donor effort to bring this about, but it is critical to begin the process now. The IMF and the World Bank will have to take the lead in this. But as we have done in the past, USAID can take a critical role in initiating the dialogue of reform and working with the multi-nationals and the GOM to begin public sector finance reform and eventually the reform of the civil service.

## Table of Contents

MEMORANDUM .....	2
Please Note: .....	4
Table of Contents .....	5
Glossary .....	6
R4 Part I: Overview: Factors Affecting Program Performance.....	8
SO Text for SO: 438-001 Accelerate and broaden environmentally sound private sector growth. ....	11
SO Text for SO: 438-002 Consolidate Mongolia's democratic transition. ....	22
R4 Part III: Resource Request.....	31
Information Annex Topic: Environmental Impact .....	34
Information Annex Topic: E&E R4 Detailed Budget Information .....	35
Information Annex Topic: Global Climate Change.....	36
Information Annex Topic: Greater Horn of Africa Initiative .....	38
Information Annex Topic: Non-presence Countries (npcs).....	38
Information Annex Topic: Success Stories.....	39
Information Annex Topic: Supplemental Information .....	50
Information Annex Topic: Updated Results Framework Annex.....	89

## Glossary

---

AG	Mongolian Agricultural Bank
Aimag	Mongolian province-level unit of government
ACDI/VOCA	Agricultural Cooperative Development International/Volunteers in Overseas Cooperative Assistance (USAID/Mongolia partner)
ADB	Asian Development Bank
AED	Academy for Educational Development (USAID/Mongolia partner)
BHR	USAID Bureau of Humanitarian Response
DAI	Development Alternatives Inc. (USAID/Mongolia partner)
Dzud	Mongolian term for a winter snow and cold emergency situation
EPSP	Economic Policy Support Project (USAID/Mongolia program)
ESF	Economic Support Funds
FIFTA	Mongolian Foreign Investment and Trade Development Agency
FINSEC	Financial Sector Adjustment Credit
GBN	Gobi Business News Magazine (GREGI publication)
GDP	Gross Domestic Product
GOM	Government of Mongolia
Great Hural	Mongolian National Parliament
GREGI	Gobi Regional Economic Growth Initiative (USAID/Mongolia activity)
GTN	Global Technology Network (USAID/Mongolia partner)
GTZ	Gesellschaft für Technische Zusammenarbeit (German Development Agency)
ICASS	International Cooperative Administrative Support Services
ICMA	International City Managers Association (USAID/Mongolia partner)
IESC	International Executive Service Corps (USAID/Mongolia partner)
IFC	International Finance Corporation (World Bank lending arm)
IRI	International Republican Institute (USAID/Mongolia partner)
JRP	Judicial Reform Program (USAID/Mongolia activity)
MCI	Mercy Corps International (USAID/Mongolia partner)
MNDP	Mongolian National Democratic Party
MP	Member of Parliament
MPVA	Mongolian Private Veterinarian Association
MPRP	Mongolian Peoples Revolutionary Party
MVC	Most Valuable Companies (large Mongolian State enterprises)
NGO	Non-governmental organization
NSO	Mongolian National Statistical Office
OFDA	USAID Office of Foreign Disaster Assistance
OYB	Operating Year Budget

PASA	Participating Agency Service Agreement
Soum	Mongolian county-level unit of government
SSIGO	Mongolian State Social Insurance General Office
SPC	Mongolian State Property Committee
TCI	The Competitiveness Initiative (USAID/Mongolia activity)
TG.	Tugriks - Mongolian currency (TG. 1100 = \$1.00 in March 2001)
UNDP	United Nations Development Program
USDH	U.S. direct hire
USPSC	U.S. personal services contractor

## **R4 Part I: Overview: Factors Affecting Program Performance**

Progress in Implementing the Mission's Strategic Plan. USAID is in the third year of a five-year strategy that is geared toward consolidating Mongolia's democratic transition and accelerating and broadening environmentally-sound private sector growth. Many elements of the program made solid progress during the year, despite delays encountered due to the organizational breakdown of Democratic Union Coalition government, as well as major parliamentary and local elections. USAID's privatization and energy programs suffered the most from the political turmoil of the last year. However, the new Mongolia Peoples Revolutionary Party (MPRP) Government appears to have adopted serious reform measures and these two critical elements of the USAID funded reform program appear to be back on track.

USAID's economic growth program was instrumental in accelerating the pace of reform in the banking sector and in introducing the concepts of competitive analysis to increasing productivity and exports. Based to a great extent on USAID's work in the banking sector, the World Bank introduced a Financial Sector Adjustment Credit last year. The Gobi Regional Growth Initiative's (GREGI) has become a major factor in rural development. Its Market Watch program and Gobi Business News are having a significant impact on the behavior of herders and business people in the Gobi region. The ACIDI/VOCA Farmer to Farmer program is implementing a goat improvement program that may serve as a model for future programs and has taken a lead role in the development of private veterinary services in Mongolia. However, its "no-till" research and demonstration program has not lived up to expectations and is being rethought. The Lake Hovsgol Park Management program has had success in improving Hovsgol Park management, but has had little success in addressing key land-use issues. The program will be evaluated this year and appropriate changes made.

USAID's democracy program made strong advances. Our rural civil society activities continue to make significant strides in transforming institutional, community and individual behavior in rural Mongolia by improving the flow of information and by assisting in the formation of formal and informal groups. IRI played a leading role in the July parliamentary elections, conducting numerous political campaign and ballot security training sessions in Ulaanbaatar and the aimag centers for all of the major political parties in Mongolia. With USAID assistance, the GOM reached a consensus on a broad strategy to reform the judiciary.

Economic Developments. Preliminary estimates show that Mongolian GDP rose by 1.1% in 2000. This is well below the 3.5% growth trend line that many now accept for Mongolia. This reflects a 21.4% decline in agricultural sector value-added as a result of the loss of livestock in the winter storms (Dzud). Losses this year will also be significant. This will pose an extremely serious problem for the medium-term growth of Mongolia and will drive thousands of herder families into poverty. Agricultural sector value-added comprises approximately 40% of Mongolian GDP, almost all of it from the livestock sector. The steady, but unsustainable growth of herds in recent years has contributed significantly to overall economic growth in the past.



The non-agricultural private sector value-added provides a very different and impressive picture. Real value-added in the non-agricultural private sector grew by 22.1% in 2000, up significantly from the average 15.3% growth of the previous four years. This reflects primarily strong continued growth in private sector transportation and communication services, the ever-increasing dominance of private firms in trade and domestic commerce, as the state-owned economy continues to lose market share, and impressive growth in the private provision of banking services and social services, such as private schools and health care services. The banking sector has demonstrated a dramatic turnaround, thanks to a great part to USAID assistance in restructuring the sector. In 2000 the entire banking sector showed a profit of approximately \$9 million compared to a loss of approximately \$8 million in 1999.

Consumer price inflation for 2000 is estimated at 8.1%, the third consecutive year during which inflation has been 10% or lower. The dollar-tugrik exchange rate remained stable in 2000, declining from Tg. 1072 to Tg. 1097 to US\$1. After the differences in U.S. and Mongolian inflation is taken into account this represents a slight increase in the real value of the tugrik.

One especially fortuitous development was the rapid rise of commodity prices, especially of copper and cashmere. The former led to a significant increase in government revenues and reduced the inflationary effects of a sharp increase in GOM spending ahead of the national election. The rise in cashmere prices helped to raise incomes in rural areas. This, along with the impact of the USAID funded Market Watch, which provides bi-weekly reports of commodity prices, was responsible for a significant redistribution of wealth from traders to herders, as herders refused to sell below prices quoted by Market Watch.

Most Significant Program Achievements during the Last Year. The GOM agreed on a strategy to reform the judiciary. The significance of this event has two distinct dimensions. First, the strategy was developed in a participatory manner and was the result of a broad consensus across the many players in the judicial sector. The second dimension is related to the substance of the strategy, which is far-reaching in its vision. The strategy addresses core values of reforming the Mongolian judiciary, including independence, accessibility, fairness, accountability, effectiveness, and responsiveness. The effort to develop the judicial sector strategy is one of the first times in Mongolia where a donor and the GOM cooperated together to establish a vision for the reform of a major sector. It has established precedent and other donors have begun to utilize both the concept and the methodology used.

A new law to restructure the Mongolian power sector was passed. This new law will allow the unbundling of electricity generation, transmission and distribution services, and establish an independent regulatory agency. The law will take effect on April 15, 2001 and it promises to help overcome one of the largest stumbling blocks hindering Mongolia's economic development, the massive inefficiencies in its power generation and distribution sector. The GOM intends to utilize the Energy Law as a model for

legislation for other important sectors to be commercialized, such as the telecommunications sector.

In August USAID began an unprecedented program with the Bank of Mongolia under which expatriate managers are now managing the restructuring the Agricultural Bank through the World Bank's Financial Sector Adjustment Credit. The agreement is for two years. If the restructuring is successful, Mongolia will have a functioning rural banking system, which is critical for the sustained development of the country. The Agricultural Bank began lending in December. The first six month review of progress was held in February and all parties are delighted with the progress made to date. The chances of success are excellent, and it appears likely that it will be possible to privatize the bank at the end of the two-year contract period.

Most Significant Country Factors Influencing Program Progress. Two major issues have developed over the past year. First, the impact of the combination of winter storms, drought and land misuse have resulted in a significant loss of animals and a resultant loss of the capital stock of the country. This may impact on the accelerated economic growth rates anticipated in the strategy. Second, the landslide victory of the MPRP, winning 72 out of 76 parliamentary seats, dealt a severe blow to the parties of the former Democratic Union Coalition. The parties have reorganized under the banner of the Mongolian Democratic Party in order to participate in the presidential election scheduled in May. How successful this reorganization will be will depend in part on the party's success in the presidential election. Therefore, the jury is still out on whether a successful opposition to the MPRP has been established. This is a critical issue for the future of electoral democracy in Mongolia.

Overall Prospects of Progress through the Budget Request Year. The new Government has adopted a strong economic reform program and appears committed to democracy. At a recent party conference of the ruling MPRP the leadership of the reform wing of the party, headed by Prime Minister N. Enhbayar was reaffirmed. Environmental factors may impact on our SO indicator of accelerated economic growth. Generally, however, IR indicators should meet targets.

Program Linkages to U.S. National Interests in Mongolia. USAID's dual objectives of accelerating and broadening, environmentally sound, private sector growth and consolidating Mongolia's democratic transition directly support U.S. national interests of promoting economic prosperity and democracy. USAID's program also directly supports achievement of the following U.S. strategic goals as identified in the Embassy's Mission Performance Plan: 1) open markets, 2) economic development, 3) democracy and 4) humanitarian assistance. USAID's two strategic objectives in Mongolia are mutually reinforcing: economic growth is essential for the future development of Mongolia's democracy and a stronger democratic system, particularly in terms of rule of law, is essential for economic growth.

**SO Text for SO: 438-001 Accelerate and broaden environmentally sound private sector growth.**

Country/Organization: USAID Mongolia

Objective ID: 438-001

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Self Assessment: Meeting Expectations

Primary Links to Agency Strategic Framework: **(Please Assign Percentages, Total Equals 100):**

70% 1.1 Critical private markets expanded and strengthened  
10% 1.2 More rapid and enhanced agricultural development and food security encouraged  
0% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable  
0% 2.1 Rule of law and respect for human rights of women as well as men strengthened  
0% 2.2 Credible and competitive political processes encouraged  
0% 2.3 The development of politically active civil society promoted  
10% 2.4 More transparent and accountable government institutions encouraged  
0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded  
0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased  
0% 4.1 Unintended and mistimed pregnancies reduced  
0% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced  
0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced  
0% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced  
0% 4.5 The threat of infectious diseases of major public health importance reduced  
0% 5.1 Threat of global climate change reduced  
0% 5.2 Biological diversity conserved  
0% 5.3 Sustainable urbanization including pollution management promoted  
0% 5.4 Use of environmentally sound energy services increased  
10% 5.5 Sustainable management of natural resources increased  
0% 6.1 Urgent needs in times of crisis met  
0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests: Economic Prosperity

Primary Link to MPP Goals: Economic Development

Secondary Link to MPP Goals (optional): Open Markets

(Page limitations for narrative begin here):

Summary of the SO:

USAID seeks to increase the standard of living of Mongolians and to improve economic and social indices by assisting the transition from a centrally planned economy to a private sector-led, market oriented economy. By 2003 the following SO1 indicators are

expected to be achieved: 1) the economy will be growing at a 5% rate with positive growth in much of rural Mongolia; 2) three-quarters of the economy will be in private hands and the private sector will be considered the principal engine of sustained economic growth; and 3) increased savings and investment will occur due to the creation of an efficient and transparent private banking system.

Four intermediate results are being pursued: IR1: public productive assets transferred to private ownership in a transparent manner; IR2: efficiency of financial markets increased; IR3: business environment improved; and IR4: management of the natural resource base improved. The program places special emphasis on the development of rural Mongolia, particularly the Gobi region of southern Mongolia.

#### Key Results:

Privatization of large state-owned companies and energy sector reform were delayed because of the organizational break-up of the previous Democratic Union Government and its inability to override MPRP opposition to these key programs. The new MPRP government has moved ahead forcefully, adopting the previous government's reform program by approving the go ahead for the privatization of key state-owned enterprises for international tender and passing essential energy legislation that will permit the commercialization of the power sector.

IR1: The new Parliament passed Privatization Guidelines that presented a four-year strategy for privatization in Mongolia. These guidelines were developed with the assistance of USAID. Immediately thereafter the Cabinet agreed to the privatization of the three MVCs that have been the focus of USAID's initial efforts in this area. These three include Gobi Cashmere, the Trade and Development Bank and NIC, the government-owned oil importer. The GOM, with the assistance of USAID, plan to sell all three through international tender this year.

IR 2: Activities in the financial sector have been subsumed by the World Bank's Financial Sector Adjustment Credit (FINSEC) and the Asian Development Bank's Second Financial Sector loan. The two projects support one another in their conditionality. The USAID financial sector program is now supporting both programs.

Under FINSEC, USAID agreed to take over management of the defunct Agricultural Bank. (AB). Previously, the AB was part of a broader intensive USAID bank restructuring program, which resulted in the closure of two failed banks. The GOM did not feel it was able to close the AB. The World Bank agreed to the rehabilitation of the AB on the condition that the GOM accept external management of the AB. The World Bank felt this was the only way to get it on sound footing in a reasonable amount of time. Both the World Bank and the Bank of Mongolia approached USAID to supply the external management. This arrangement is unprecedented in Mongolia. The external management contract began in August 2000 and will last for two years. The managers are charged with implementing an already agreed upon restructuring plan. The new Government, while initially apprehensive, is now actively supporting the program. In February 2001 the first six-month review of the AB was held with the World Bank and the GOM. All agreed the program is working well. The AB has started lending again,

and if progress continues, management feels the AB will become profitable by the end of this year, with the Bank successfully being restructured by August 2002. At that time the AB will be a candidate for privatization.

The sale of the Trade and Development Bank (TDB) to a private international bank is viewed as essential to the future of banking in Mongolia. USAID will be assisting the State Property Committee in selling TDB this year. Both the IFC and the ADB plan to support this sale by assisting with marketing and possibly taking equity interest in the Bank. The World Bank has provided a "floating" tranche in its FINSEC that will be released when the sale is complete.

USAID completed its pension reform activities last September. In addition to assistance in passing a new pension law, USAID provided assistance to the State Social Insurance General Office (SSIGO) in establishing the new pension system. The establishment of the system is not complete, but enough support has been provided to the GOM for them to complete the establishment of the system alone. In addition, the Asian Development Bank plans to provide assistance to the SSIGO in the future.

With these actions all of the planned steps to strengthen the financial sector have now been undertaken. Since some activities are continuing, USAID will develop a new banking indicator for next year's R4 that will track the success of these efforts. It will also continue to monitor developments in pension reform.

IR3: With USAID assistance, a new law to restructure the Mongolian energy sector was passed. The law will allow the unbundling of electricity generation, transmission and distribution and establish an independent regulatory agency. The law will take effect on April 15, 2001 and addresses one of the largest stumbling blocks hindering Mongolia's economic development, the massive inefficiencies in the power sector. USAID has begun discussions with the GOM for a multi-year program of support to the energy sector. We plan to begin implementation of the program in June 2001.

Responding to the tremendous interest generated by the USAID-funded program to introduce Mongolians to the principles of competitive analysis, USAID began the Competitiveness Initiative (TCI) last August. TCI focuses on three critical areas: non-traditional meat exports, cashmere marketing and tourism. TCI has been responsible for introducing competitiveness terminology into the language of Mongolian business and thereby beginning to change mind-sets from one of production for production sake to one of marketing Mongolian products. TCI has also been responsible for the beginning of public/private sector cooperation on competitiveness issues. The Prime Minister has put one of his economic advisors in charge of coordinating competitiveness activities among the ministries and the private sector. The development of multi-year competitiveness action plans has been a result of this coordination.

Some of the activities of the Gobi Regional Economic Growth Initiative (GREGI) and the ACIDI/VOCA Farmer to Farmer program (FtF) have been subsumed under TCI. For instance, TCI identified the lack of a suitable organization to confirm phyto-sanitary

requirements of countries wanting to import Mongolian meat. FtF took the initiative in helping the Mongolian Meat Exporters Association and the GOM establish the Food Safety and Agricultural Inspection Agency to address phyto-sanitary requirements. We expect the Minister of Agriculture to soon sign the establishment of the Agency into law. TCI findings have led GREGI to rethink its herder education programs. As a result, GREGI has begun the implementation of more comprehensive herder management and marketing programs to address the need for a stable supply of high quality cashmere.

GREGI's Market Watch is probably the most important outcome of USAID's rural development program. In addition to Market Watch there have been several other successes in the USAID Rural Development Program. Please see the Success Story Annex for further examples.

IR4: Last year's winter storms (Dzud) were responsible for the death of approximately 3 million livestock. This winter a similar condition exists, due to an extremely cold winter and drought conditions in many areas of Mongolia. The problem is not only a function of winter storms, but the decade of abuse of the range and the lack of basic knowledge on effective management and land-use on the part of many Mongolians who become herders when animals were privatized in the early 1990s. Mercy Corps International (MCI) and USAID reviewed GREGI and reorganized the project to more comprehensively address herder management and land use issues. MCI has already begun implementation of the new program and we expect to report on progress in next year's R-4. USAID's other programs under this IR have not had great success. The Lake Hovsgol Project, implemented through the U.S. Department of the Interior, has been successful in improving the overall management of the Hovsgol Park and in sensitizing local populations to environmental issues. However, the GOM has not proceeded to improve the legal or regulatory structure to address natural resource issues. Similarly, the ACDI/VOCA "no-till" research activity has not met targets.

The indicator tables submitted as part of this SO support the discussion of key results above. They show that the number of MVCs privatized fell short of the planned target. Performance for most other indicators, including the private sector growth rate, the number of new businesses in rural aimags, and banking reform activities were in line with expectations. The indicator for the number of 'elite' bucks failed to meet expectations due to disease. However, the number surviving has increased the number of 'elite' bucks in the country by over 50 percent. The failure to implement a GOM approved land use plan in the Lake Hovsgol Park and the very significant shortfall in the number of hectares under conservation tillage are recorded in the SO1, IR4 indicators. These indicators appear, along with all of the other Mission indicators, in the Supplemental Annex to this R4.

#### Performance and Prospects:

There is an excellent chance that many of the SO indicator goals will be met by the end of the strategy period. Approximately three-quarters of the economy is already in private sector hands, and the proportion will continue to grow. There are few Mongolians today outside of the most reactionary members of the MPRP, and possibly some extremely old herders, who do not believe in a private sector led economy. The prospects look good for

the creation of an efficient and transparent private banking system, with the resulting increase in savings and investment. The 5% sustainable growth target may not be reached if the drought continues and the resultant large losses of animals continue. A large part of Mongolia's capital stock is in animals. With the large losses the overall capital stock of the country will not grow as expected in the medium term. In addition, Mongolia has had two outbreaks of hoof and mouth disease in the past two years that have had negative impacts on meat and fiber exports. If the condition cannot be addressed this will greatly influence exports and economic growth. While growth in the agricultural sector may be problematic, we do expect solid growth in the non-agricultural sectors to continue and possibly accelerate, particularly with the probability of the establishment of a viable banking system less than two years away. However, many aspects of the new non-farm private sector economy are not readily measurable by the national statistics office, since much of their methodology is based on a control economy. The real growth in the private non-farm economy may not be incorporated into national statistics.

The Mission expects good results at the IR level. The new Government has demonstrated that it is willing to move forward with reform. Prospects are good for progress in privatization, the development of the financial sector and improving the business environment. USAID expects to continue to take a prominent role in these three areas. In terms of improving the natural resource base, we believe we have developed an appropriate program with the revised GREGL. We are reviewing the ACDI/VOCA program and will either get out of the no-till crop program or thoroughly revise it. We intend to review the Lake Hovsgol project this summer and to make appropriate changes.

#### Possible Adjustments to Plans:

The new Government appears to have adopted a sound program for economic reform. If it implements its program, USAID sees no need for adjustments to our current reform programs. Changes could be made to both the Lake Hovsgol Park Management Project and the ACDI/VOCA FtF. No other programmatic changes are warranted at this time.

#### Other Donor Programs:

The International Monetary Fund, the World Bank, including the International Finance Corporation, the Asian Development Bank, GTZ, the United Nations Development Program (UNDP) and the Japan International Cooperation Agency have active programs in the areas where USAID is working.

#### Major Contractors and Grantees:

USAID implements this activity through the following partners: Development Alternatives Incorporated, Academy for Educational Development, Barents Group, Mercy Corps International, USAID Global Technology Network, U.S. Department of Interior, Philadelphia Academy of Sciences, Robert Nathan and Associates, ACDI/VOCA. Principal agencies include the Office of the Prime Minister, the Mongol Bank (the central bank), the State Property Committee, Ministry of Food and Agriculture, the Ministry of Nature and Environment, and the Ministry of Infrastructure Development.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Objective ID: 438-001

Approved: 1999-07-30 Country/Organization: USAID Mongolia

Result Name: SO-level indicator

Indicator: Private sector growth rate (in constant prices)

Disaggregated By: N.A.

Unit of Measure: Percentage growth.

Year	Planned	Actual
1999	15%	6%
2000	20%	-0.5%
2001	25%	-
2002	30%	-
2003	35%	-

Source:

Mongolia State Statistical Officer

Indicator/Description:

The rate of growth of the private sector measured in constant dollars.

Comments:

The actual growth figure for 1999 only takes into account private sector growth in the formal sector. The 2000 data takes into account the growth in the informal sector.

The negative private sector growth rate in 2000 is a product of a 21.4% decline in the agricultural sector as a result of the loss of livestock in the Dzud (winter snow emergency). If only non-agricultural private sector growth is examined, to remove the effects of the Dzud, a very different and very impressive picture emerges. It shows that real value-added in the non-agricultural private sector grew by 22.1% in 2000, up significantly from the average 15.3% growth of the previous four years. The increase in 2000 primarily reflects continued, strong growth in private sector transportation and communication services, the ever increasing dominance of private firms in trade and domestic commerce, and the declining market share of certain state-owned firms.



## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: SO Level  
 Indicator: Number of businesses with permits or licenses in selected rural aimags - female.  
 Disaggregated By: N.A.

Unit of Measure: Number of businesses - female.

Year	Planned	Actual
1999	NA	75 (541 revised)
2000	95 (553 revised)	611
2001	765	-
2002	841	-
2003	926	-

Source:  
 GREGI aimag offices.

Indicator/Description:  
 The number of businesses entering the formal sector as indicated by the granting of permits to micro- and small enterprises and the granting of licenses to medium and large-scale businesses. Indicator data is reported cumulatively. Figures presented are for women owned businesses

Comments:  
 Data for 1999-2002 covers Umnugovi and Dundgovi aimags (provinces).

The large jump between the "actual" figure reported last year and the revised figure reported above, reflects the inclusion of new data that became available in 2000 on very small business enterprises. Accordingly the originally 2001-2003 targets have been revised upward.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Objective ID: 438-001

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: IR 1.1 Productive assets transferred to private ownership in a transparent manner.

Indicator: Number of most valued companies (MVCs) privatized by international tender.

Disaggregated By: N.A.

Unit of Measure: Number of MVCs

Year	Planned	Actual
1999	3	0
2000	8	0
2001	10	-
2002	10	-
2002	10	-
2003	10	-

Source:

Mongolian State Property Committee

Indicator/Description:

Most valued companies are a subset of state-owned companies. An MVC is a company more than 50% owned by the state that has the scale and potential to interest a foreign strategic investor.

Comments:

The run-up to the national elections in July 2000 and the resulting change of government led to a temporary slow down in the USAID supported privatization program. However, in late February 2001 Parliament passed Privatization Guidelines that presented a four-year strategy for privatization in Mongolia. Immediately thereafter the Cabinet agreed to the privatization of the three MVCs that have been the focus of USAID's initial efforts in this area. The planned totals have been adjusted to reflect existing realities.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Objective ID: 438-001

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: IR 1.2 Increased efficiency of financial markets.

Indicator: Steps taken toward strengthening the banking sector.

Disaggregated By: N.A.

Unit of Measure: Number of steps

Year	Planned	Actual
1999	Steps 2&3	Steps 2&3
2000	Step 1	Step 1

Source:

Central Bank

Indicator/Description:

Steps to strengthen the sector include: # 1) rehabilitation or liquidation (R or L) of the Agricultural Bank; # 2) R or L of the Investment and Technical Innovation Bank; # 3) R or L of the Reconstruction Bank.

Comments:

With the achievement of Step 1 in 2000, the performance targets being monitored by this indicator have been achieved. The Mission will develop a new indicator more specifically focused on the rehabilitation of the Agricultural Bank later this year for inclusion in next year's R4.

## Performance Data Table

### Fiscal Year: 2003

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Objective ID: 438-001

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: 1.3 Improved business environment.

Indicator: Steps taken toward restructuring and commercializing the energy sector.

Disaggregated By: N.A.

Unit of Measure: Number of steps.

Year	Planned	Actual
1999	Steps 2-5	Steps 2-3
2000	Steps 6-7	Step 4

Source:

Ministry of Infrastructure Development, Parliament, and regulatory agencies.

Indicator/Description:

Steps include: #1) agenda developed; #2) consensus of major stakeholders achieved; #3) energy law drafted; #4) energy law passed; #5) legal establishment of a regulatory agency; #6) unbundling of generation, transmission and distribution functions; and #7) regulatory agency commences operations.

Comments:

Step 1 was completed in 1998. The Energy Law was passed in February 2001 and it will take effect on April 15, 2001. The legal establishment of the energy regulatory agency will follow shortly thereafter. USAID expects that will take 1-2 years for the regulatory agency to become fully operational. The GOM has been instructed by Parliament to commence the unbundling of generation, transmission and distribution functions immediately, within the framework established by the new Energy Law and to complete this process within 2001. However, it is likely to extend into 2002.

Thus, with the time period originally allotted for the achievement of the steps associated with this indicator has proven to be overly optimistic, the Mission remains confident that the steps will be achieved by the end of the strategy period.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Objective ID: 438-001

Approved: 1999-07-30 Country/Organization: USAID Mongolia

Result Name: IR 1.3Improved business environment.

Indicator: Number of superior male breeding goats.

Disaggregated By: N.A.

Unit of Measure: Number of goats.

Year	Planned	Actual
1999	300	300
2000	1,155 (866 revised) *	563
2001	1,080	-
2002	1,200	-
2003	1,200	-

Source:

ACDI/VOCA.

Indicator/Description:

These animals are pure Mongolian Cashmere goats. They are being produced under the Cashmere Breed Improvement Program, which seeks to raise the quality of cashmere produced in Mongolia.

Comments:

In the spring of 2000, 1660 male goats were born. A culling rate of 75% was used to select the most superior kid bucks to sell for the 2001 year, thus 420 superior breeding male goats were available. In addition, 143 superior breeding males were selected by national research making a total of 563 superior goats available.

In the spring of 2001, 2200 male goats are expected to be born. A culling rate of 75% will yield 550 superior male kids. The total includes this 550 plus the 563 from the previous year – assuming a death rate of 5%. In the spring of 2002, the number of male goats born is expected to be slightly higher due to the young superior breeding does (females) entering the flock for the first time. The total number of breeding does will increase only slightly due to older does being culled.

\* ACDI had originally planned to raise superior goats at four sites. However, ACDI decided, in consultation with the Mission, to drop one of the project sites because of the presence of Agalactia in the area. (Agalactia is a contagious disease affecting small ruminants such as goats and sheep.) This meant that superior goats could be produced at only three sites instead of four and therefore the 2000 target was reduced by 25% to 866 goats. The number of superior goats produced fell somewhat short of this revised target because a decision was made at one of the three remaining sites to "over cull" above the 75% rate. Nonetheless, production of the 563 superior goats under this activity is still an important achievement, given that there were only 1,000 additional superior goats available for the entire country. ACDI remains confident that it will achieve the planned 2001 target listed in the table above.

Particular attention will be paid to this indicator in the planned "mid-term review" of the Mongolia PMP in the summer of 2001.

**SO Text for SO: 438-002 Consolidate Mongolia's democratic transition.**

Country/Organization: USAID Mongolia

Objective ID: 438-002

Objective Name: Consolidate Mongolia's democratic transition.

Self Assessment: Meeting Expectations

Primary Links to Agency Strategic Framework: **(Please Assign Percentages, Total Equals 100):**

0% 1.1 Critical private markets expanded and strengthened  
0% 1.2 More rapid and enhanced agricultural development and food security encouraged  
0% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable  
60% 2.1 Rule of law and respect for human rights of women as well as men strengthened  
10% 2.2 Credible and competitive political processes encouraged  
20% 2.3 The development of politically active civil society promoted  
10% 2.4 More transparent and accountable government institutions encouraged  
0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded  
0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased  
0% 4.1 Unintended and mistimed pregnancies reduced  
0% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced  
0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced  
0% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced  
0% 4.5 The threat of infectious diseases of major public health importance reduced  
0% 5.1 Threat of global climate change reduced  
0% 5.2 Biological diversity conserved  
0% 5.3 Sustainable urbanization including pollution management promoted  
0% 5.4 Use of environmentally sound energy services increased  
0% 5.5 Sustainable management of natural resources increased  
0% 6.1 Urgent needs in times of crisis met  
0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests: Democracy

Primary Link to MPP Goals: Democracy and Human Rights

Secondary Link to MPP Goals (optional): Economic Development

(Page limitations for narrative begin here):

Summary of the SO:

USAID seeks to consolidate Mongolia's transition to democracy by establishing the foundations for an effective rural civil society, and by improving the effectiveness of Parliament and the judiciary. The current program includes activities to strengthen rural

civil society and public institutions in rural areas, improve electoral and legislative branch processes, and reform the judiciary. SO level goals to be achieved by 2003 include: 1) civil society organizations will be addressing the economic development needs of rural Mongolia and rural Mongolia will be better integrated into the national economy; and 2) public trust in the judiciary and the Parliament will increase due to reform of the judiciary and improved professional and ethical standards. The SO has the following two intermediate results. IR1: the foundations for an effective rural civil society are established; and IR2: the effectiveness of Parliament and the judiciary improved.

Key Results:

I R1: During the past year significant strides were made in transforming institutional, community and individual behavior in rural Mongolia by improving the flow of information to these areas. The Gobi Regional Economic Growth Initiative (GREGI) is providing access to timely and reliable market price information and access to business support services. GREGI has published six issues of the Gobi Business News (GBN) magazine and broadcast 96 media products reaching over 100,000 households, virtually all of the households in the Gobi region and approximately 35% of households in the rest of the country. This well exceeded expectations.

GBN media products are used by Gobi residents to learn when and where to herd livestock; how to breed animals for quality; how, when, and where to market products for the highest possible prices; and how to develop strategies to start and grow businesses. With USAID assistance, Gobi Wave, the country's first independent non-profit radio enterprise outside Ulaanbaatar was established and its staff trained. As a result of leveraging other donor and local government financial and material resources, Gobi Wave now owns a state-of-the-art FM station and employs five full time staff and 20 stringer sales representatives in soums across the region.

GREGI formed 24 herder groups last year. These are both formal and informal groups consisting of at least 10 members. These groups have begun to adopt behavioral changes including working in groups, maintaining accurate records, fiber classing and sorting, castrating non-elite bucks, introducing elite bucks into test herds, preparing for the winter, and managing breeding procedures. GREGI expects to form at least 200 groups this year and plans to have approximately 1,400, or about 10% of targeted herders, cooperating under formal or informal group structures by the end of the project. GREGI directly incorporates cooperative development as a component of its work.

GREGI worked closely with local governments to remove critical policy constraints to business development including excessive business inspections and unbalanced taxation. Specific recommendations were made to newly elected officials after the October local elections. All governors in targeted aimags have incorporated GREGI recommendations into their official 2001 platforms. The local parliaments in these aimags adopted the platforms in December.

ACDI/VOCA, as part of its "Elite Goat Breeding Program," has started three formal associations. In addition, it has been working for over two years with the Mongolian

Private Veterinarian Association (MPVA), the only private association in Mongolia, to strengthen its institutional and technical capacity. MPVA has become a major voice in matters relating to herding and animal care. See the “Success Story” annex for more information on MPVA.

IR2: Electoral System Strengthening. The International Republican Institute's (IRI) provided nationwide campaign training to the parliamentary parties, to women activists, and to candidates from numerous parties. IRI conducted training nationwide for domestic polling site monitors, which were later observed by delegates of the observation mission at every polling site visited. IRI purchased 10,000 single use, tamper-proof ballot box seals at the request of the Mongolian General Election Commission. With the Voters' Education Center, a Mongolian NGO, IRI compiled political party platform comparisons to inform Mongolian voters. Ten thousand booklets containing this information for first time voters and 30,000 easy-to-read Voter Guides containing party comparisons were provided. Following the parliamentary election, IRI shifted its focus to local elections, held in October. IRI trained campaign managers and candidates for local town councils positions. In this election, the MPRP was successful in further solidifying their mandate by winning most of these races.

Judicial Reform. USAID began work in judicial reform in March 1999, with an assessment of the status of the judicial system, as well as all the legal branches of government and international donor efforts to strengthen them. International donor aid to the legal system in Mongolia, while significant in terms of funding, has been delivered in a largely ad hoc manner, lacking clearly articulated goals on the part of the GOM or the donor community, resulting in duplication of effort and little forward progress.

To attempt address these issues, USAID provided assistance to the GOM in developing a comprehensive strategic plan for the judicial sector. In a July 1999 workshop, Mongolian legal experts, assisted by USAID-funded legal experts, identified six fundamental values that needed to be incorporated into the Mongolian legal system including independence, accessibility, fairness, accountability, effectiveness and responsiveness. A senior-level Advisory Committee, composed of cabinet officials was then created by the GOM to oversee the process of translating the six values into a strategic plan for judicial reform. The Advisory Committee determined that the strategic plan should focus first of all on the courts. A series of six Working Groups were formed to provide additional details on each of the values, and to delineate the steps needed for the Mongolian justice system to function in such a way as to achieve the expectations of both the Advisory Committee and the Working Groups. These activities received substantial support from USAID. “The Strategic Plan for the Justice System of Mongolia” detailing the specific activities required to implement the plan, was submitted to Parliament and approved in May 2000. The Ministry of Justice has published the Strategy, in both Mongolian and English and it has been widely distributed.

Following the approval of the Strategic Plan, USAID developed a proposal for a U.S.-funded program of assistance. Initial Judicial Reform Program (JRP) program activities will focus on strengthening court administration and case management, developing a



centralized training system for legal professionals, improving coordination and collaboration among Mongolia's justice system agencies, and developing a system of legal qualifying standards, and strengthening and enforcing ethical standards among judiciary and legal professionals. The JRP began implementation in March 2001.

The indicator tables submitted as part of this SO support the discussion of key results above. They document that the national election held in July 2000 was free and fair, that the initial steps taken towards reforming the judiciary were undertaken successfully, and the number of aimag governments demonstrating improved capacity to work with rural civil society organizations on joint action plans expanded according to plan. The only indicator falling short of expectations was the one measuring the capacity of soum governments to participate in such joint actions. This indicator fell short of the planned target because of a mid-year decision to re-orient the GREGI program to place greater emphasis on the role of the private sector and more effective range management practices in the development of the Gobi region.

#### Performance and Prospects:

There is an excellent chance that the SO indicators will be met by the end of the strategy period. Our rural civil society programs are working effectively. The GREGI media program is doing an excellent job of providing vital information to rural areas thus supporting integration. The Mission expects to continue programs supporting IR1. The JRP under IR2 directly supports an important GOM priority. The parliamentary strengthening component of IR2 is under review. The UNDP plans on undertaking a new activity to strengthen Parliament and signed an agreement for this activity with the GOM in March 2001. IRI is now developing a new program of parliamentary support within the context of the new UNDP program. In addition, given the confusion within the ranks of the parties in the Democratic Union Coalition due to the lopsided victory of the MPRP in the elections, IRI is now reviewing its role in political party development. USAID will provide funding for one year for IRI to attempt to develop appropriate programs and responses to the changing political climate. Since the JRP has just begun, new indicators for this activity will be presented in next years R-4. IRI will also develop new indicators as a result of its transition program.

#### Possible Adjustments to Plans:

The new government has demonstrated its commitment to democracy. Assuming it is able to implement its current program, USAID sees not need to adjust its current plans.

#### Other Donor Programs:

The World Bank, the Asian Development Bank, Germany's GTZ, UNDP and the Soros Foundation all have active programs in the areas in which USAID is working.

#### Major Contractors and Grantees:

Grantees include the International Republican Institute, the National Center for State Courts, Mercy Corps International, ACDI/VOCA . Principal agencies include: the Mongolian Parliament, Ministry of Justice, General Council of Courts, and provincial government in the Gobi region.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: SO Level

Indicator: Rural civil society organizations (RCSOs) perceptions of meaningful engagement with Parliament and government.

Disaggregated By: N.A.

Unit of Measure: Scale of 1-5: 1=no responsiveness; 2=very limited response; 3=some two-way discussion; 4=substantive two-way interchange; 5=government seriously considers RCSOs in decision making.

Year	Planned	Actual
1999	NA	1.0
2000	1.5	*
2001	2.5	-
2002	3.0	-
2003	4.5	-

Source:

Mercy Corps and partners in cooperation with RCSOs.

Indicator/Description:

RCSOs refer to organizations with which USAID is working, have a rural focus, significant rural membership and have attempted to engage Parliament and government in advocacy on issues of significance to their members. Each RCSO will be asked only about their own experiences. See scale above.

Comments:

\* In the Mission's July 1999 Performance Monitor Plan USAID and Mercy Corps agreed to begin collecting data on this indicator in 2001. Thus, in next year's R4 the Mission hopes and expects to report that RCSOs achieved an average score of 2.5 or better.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-31

Country/Organization: USAID Mongolia

Result Name: SO level

Indicator: National elections (parliamentary and presidential) are fair and free and provide meaningful choice to voters.

Disaggregated By: N.A.

Unit of Measure: Yes/No

Year	Planned	Actual
1999	NA	NA
2000	Yes	Yes
2001	Yes	-
2002	NA	NA
2003	NA	NA

Source:

IRI and the Mongolian central election commission.

Indicator/Description:

"Fair and free" is broadly understood terminology that incorporates key principles including political parties are free to participate without hindrance from the state; that no party makes unfair use of the state apparatus and that parties provide meaningful choice to voters through offering clear issue-oriented policy platforms.

Comments:

Mongolia successfully conducted a free and fair parliamentary election at the national level this year. A presidential election scheduled for May/June 2001.

The Mission expects to replace this indicator with another SO-level indicator after the 2001 results have been reported.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-31

Country/Organization: USAID Mongolia

Result Name: IR 2.1 Establish the foundation of an effective rural civil society

Indicator: Number of aimags that demonstrate improvement in the identification and implementation on joint local government/RCSO action plans

Disaggregated By: N.A.

Unit of Measure: Number of aimags.

Year	Planned	Actual
1999	0	3
2000	4	4
2001	4	-
2002	6	-
2003	6	-

Source:

Mercy Corps and partners.

Indicator/Description:

"Demonstrated improvement" is measured by the following steps taken: 1) meetings of interested local actors determine action plan; 2) public and stakeholder education in support of the plan; 3) an action plan decided by a process of consensus; 4) allocation of responsibilities to subcommittees for aspects of the plan; 5) implementation of the plans; and 6) usage of the facility or services envisioned in the plan.

Comments:

The aimags are Umnugovi, Dundgovi, Govi-Altai, and Uvurhangai.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-31

Country/Organization: USAID Mongolia

Result Name: IR 2.1 Establish the foundation of an effective rural civil society.

Indicator: Number of soums that demonstrate improvement in the identification and implementation on joint local government/RCSO action plans

Disaggregated By: N.A.

Unit of Measure: Number of soums.

Year	Planned	Actual
1999	0	4
2000	10	5
2001	16	-
2002	32	-
2003	45	-

Source:

Mercy Corps and partners.

Indicator/Description:

"Demonstrated improvement" is measured by the following steps taken: 1) meetings of interested local actors determine action plan; 2) public and stakeholder education in support of the plan; 3) an action plan decided by a process of consensus; 4) allocation of responsibilities to subcommittees for aspects of the plan; 5) implementation of the plans; and 6) usage of the facility or services envisioned in the plan.

Comments:

The shortfall at the soum level is the result of the mid-year decision to re-orient the GREI program to place greater emphasis on the role of the private sector (including micro-enterprise) and more effective range management practices in the development of the Gobi region. As a result, later this year, the Mission will consider selecting an alternative indicator to use in reporting progress under this IR.

The soums are located in Umnugovi, Dundgovi, Govi-Altai, and Uvurhangai aimags.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-31

Country/Organization: USAID Mongolia

Result Name: IR 2.2 Effectiveness of Parliament, political parties and the judiciary improved.

Indicator: Steps taken toward the establishment of an independent judiciary

Disaggregated By: N.A.

Unit of Measure: Number of steps taken.

Year	Planned	Actual
1999	Step 1	Step 1
2000	Steps 2,3,&4	Steps 2,3,&4
2001	NA	-
2002	NA	-
2003	NA	-

Source:

Information will be derived from interviews with those associated with the USAID reform initiative and with other judges and lawyers as well as by reference to relevant documents.

Indicator/Description:

Steps include: 1) national conference on the independence of the judiciary; 2) strategic plan drawn up; 3) allocation of responsibilities to subcommittees; 4) action plans (including priorities) designed by subcommittees.

Comments:

The performance goals being monitored by this indicator have now been achieved. The Mission will develop one or more indicators more specifically focused on high-level results from the Mission's new Judicial Reform Program for inclusion in next year's R4.

#### **R4 Part III: Resource Request**

**Rationale for Program Resource Levels and SO Allocations.** Existing resource levels have enabled USAID to focus on significant reform efforts in key areas. USAID resources have had a major impact on reform and the reform process. Our resources have laid the groundwork for other donors, principally the World Bank, the IMF and the Asian Development Bank to support reform. USAID has pioneered programs in effective privatization. Our financial sector program set the stage for more comprehensive and coordinated programs by the World Bank and the ADB. Our assistance in the energy sector is viewed by the Mongolians as a model for future infrastructure restructuring. The methods used in developing the Judicial Reform Strategy are being used by the Parliament Secretariat to develop a long-term vision for parliamentary reform. USAID is still the only donor funding systemic rural development, developing workable models that will have long-term impact. There is an excellent probability that by the end of the strategy period Mongolia will have a working banking sector, a revitalized pension program and a reliable power sector able to pay its own way. The private sector will know how to market goods and services internationally and will work better with government to solve problems. The foundations for a sound judicial system will be laid and Parliament will be better organized to do the peoples work.

USAID/Mongolia has tied its resource request levels to the willingness and ability of the Government of Mongolia to undertake meaningful reform. Because of program synergies, our ability to implement, and the small size of the Mongolian economy, past levels of approximately \$12 million have enabled USAID to set the direction and tone of much of the economic and political reform in Mongolia. U.S. assistance to Mongolia has been used effectively and is getting results.

The new MPRP Government has demonstrated its commitment to continuing the reform process. USAID therefore strongly advises that a level of \$12 million be continued through the rest of the strategy period. This will permit the current strategic approach of the program to be funded, without interruption and delay. Funding for the Economic Growth SO will be at a level of \$9,000,000 in FY 2001 and will remain at this level in FY 2002 and FY 2003. Funding for the Democracy SO will be at a level of \$3,000,000 in FY 2001 and remain at that level in FY 2002 and FY 2003. Continued funding at these levels will be necessary to achieve the worthwhile objectives of the program.

The proposed allocation of OYB funds between the Economic Growth and Democracy Strategic Objectives (\$9,000,000 and \$3,000,000, respectively) represents a moderate increase in funding for the Democracy SO and corresponding decrease in funding for the Economic Growth SO. This shift is the product of the GOM's adoption of a strategy to reform the judiciary, which offers a significant opportunity to help Mongolia consolidate its democratic transition.

**Impact of Performance on the Resource Request.** USAID/Mongolia takes performance into account in its resource requests and in its program funding decisions. The Mission indicated earlier in this document that it believes that the performance of most of its Economic Growth and Democracy Strategic Objectives is on track. Those

areas that are not performing are being reviewed and appropriate decisions will be made on how to proceed. In the past USAID/ Mongolia has demonstrated its willingness to suspend or reallocate assistance funds when such funds are not being used effectively. It is prepared to do so again if the occasion arises.

**Pipeline.** As of September 30, 2000 the Mission's Economic Growth SO pipeline was \$10,229,550. The FY 1999 pipeline was \$1,088,550 all of which has been committed into activities with completion dates beyond FY 2000. The FY 2000 pipeline is \$9,141,000, of which \$7,097,000 was committed into activities with completion dates beyond FY 2000. The balance of \$2,044,000 was reserved for future activities. Given projected expenditures of \$12.4 million and a pipeline of \$10.2 million, these figures are well within Agency forward funding guidelines.

As of September 30, 2000, the Mission's Democracy SO pipeline was \$944,300. The FY 1998 pipeline was \$56,600. (These funds were held back to pay a final voucher from the Asia Foundation). Excess funds will be reprogrammed into the new Judicial Reform Program. The FY 1999 pipeline was \$187,700. Since September \$64,000 has been disbursed and the remaining funds were committed into the Judicial Reform Program. The FY 2000 pipeline is \$700,000 of which \$576,300 has been committed into the Judicial Reform Program. A balance of \$123,700 remains for future activities. Once again, these figures are well within Agency forward funding guidelines.

**Relationship of Program Request to OE and Staffing Requirements.** USAID/ Mongolia's OE budget has consistently been one of the lowest in the ANE/Bureau in relation to its program budget. OE expenditures in FY 1999 were \$304,000 and \$210,000 in FY 2000. The main reasons for the decline in the FY 2000 figure are decreases in telecommunications costs, which were taken over by the Embassy, fewer site visits by Washington and a reduction in planned office furniture and ADP hardware purchases. There will be a significant rise in OE expenditures in FY 2001 because of the departure of the current Mission Director and the arrival of a new one. There is also a pressing need to upgrade the Mission's computer hardware. New housing will be needed for the new Director who plans to bring his wife and three children to post. The current Mission Director's apartment is not suitable for a family with children. The Embassy has gotten approval to lease a new townhouse complex that will be available o/a May 2001. USAID recommends that one of the townhouses be leased for the new Mission Director's residence. New housing costs in Mongolia are quite expensive; thus a significant increase in OE will be required to fund the new housing and to furnish it. We expect to sign a lease for the townhouse in July 2001 so additional OE may be required for 2001. Future OE expenditures will rise because of these high housing costs as well as the school tuition costs of the Director's children. Accordingly, OE expenditures are expected to rise to \$332,600 in FY 2001 and remain at the \$300,000 level for the next few years.

The Mission's USDH staff is composed solely of a Mission Director. He is supported by a program-funded USPSC, working out of Manila and six FSNs in Ulaanbaatar, four of whom are program funded.



USAID/Mongolia relies on backstopping from USAID/Manila and USAID/Washington. Manila's backstopping includes financial office, contracting, legal and EXO support. USAID/Washington staff provides technical support for both the Mission's economic growth and democracy activities. ICASS budgets have increased significantly in recent years reflecting growth of the Embassy and increases in FSN staff. The above suggests that there is not much room for OE savings if program budget levels are cut and the Agency still wants a USDH presence in Mongolia.

**Discussion of Resource Request Tables.** USAID/Mongolia's spending plan closely follows the resource request presented in its Country Strategic Plan. The discussion below briefly reviews the contents of each of the seven resource request tables.

Global Bureau Field Support Table. Global Bureau buy-ins will be at a level of \$3,350,000 in FY 2002 (\$2,500,000 obligated by the Mission and \$850,000 obligated by the G Bureau) and \$3,350,000 in FY 2003 (with the same 2001 split between G Bureau and Mission obligations).

Budget Request Table. USAID/Mongolia is requesting OYB funding of \$12 million per year in FY 2001-2003. Over this period funding will amount to \$27 million for the Economic Growth SO, and \$9 million for the Democracy SO. The Mission estimates that about 15% of the OYB resources will be devoted to rural Mongolia through GREI, ACIDI/VOCA, the Lake Hovsgol activity and the new Judicial Reform Program.

Workforce Table. For FY 2001-2003 the USAID/Mongolia is expected to remain composed of 1 USDH, 2 OE funded FSNs, and 4 program funded FSNs. The program funded USPSC will be leaving at the end of his contact in July 2001. The new Mission Director, who arrives in August, will determine how best to replace his services .

USDH Staffing Requirements Table. For FY 2001-2003 USAID/Mongolia USDH staffing is expected to consist of one individual from the Senior Management Group.

Operating Expense Table. Requested OE levels are \$332,600 in FY 2001, \$299,000 in FY 2002 and \$299,000 in FY 2003. The increase from the FY 2000 level is largely attributable to the anticipated change in Mission Directors.

Trust Fund and FSN Voluntary Separation Payment Table. Deposits to the Foreign National Voluntary Separation Account will increase from \$5,200 to \$5,700 between FY 2001 and FY 2003. USAID/Mongolia has no local currency trust funds.

Controller Operations Table. USAID/Mongolia's controller operations are handled by USAID/Manila and in keeping with USAID/Washington guidance, this table is not submitted.

## FY 2001 Budget Request by Program/Country

Fiscal Year: 2001      Program/Country: USAID/Mongolia  
 Approp: DA/CSD  
 Scenario:

FY 2001 Request															
S.O. #, Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2001
SO 1: Accelerate and Broaden Environmentally Sound Private Sector Growth															
Bilateral								0							0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 2: Consolidate Mongolia's Democratic Transition															
Bilateral	19													19	0
Field Spt		0													0
	19	0	0	0	0	0	0	0	0	0	0	0	0	19	0
SO 3:															
Bilateral															0
Field Spt															0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4:															
Bilateral															0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral															0
Field Spt															0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 9:															
Bilateral															0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	19	0	0	0	0	0	0	0	0	0	0	0	0	19	0
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	<b>19</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>19</b>	<b>0</b>

### FY 2001 Request Agency Goal Totals

Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	

### FY 2001 Account Distribution (DA only)

DA Program Total	0
CSD Program Total	0
<b>TOTAL</b>	<b>0</b>

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

## FY 2001 Budget Request by Program/Country

Fiscal Year: 2001      Program/Country: USAID/Mongolia  
 Approp: ESF  
 Scenario:

FY 2001 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2001
SO 1: Accelerate and Broaden Environmentally Sound Private Sector Growth															
Bilateral	5,511	8,609		8,609				0						8,094	6,026
Field Spt		350		350										350	0
	0	0	0	8,959	0	0	0	0	0	0	0	0	0	8,444	6,026
SO 2: Consolidate															
Bilateral	37	2,740											2,740	859	1,918
Field Spt		260											260	260	0
	0	3,000	0	0	0	0	0	0	0	0	0	0	3,000	1,119	1,918
SO 3:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 9:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	5,548	11,349	0	8,609	0	0	0	0	0	0	0	0	2,740	8,953	7,944
Total Field Support	0	610	0	350	0	0	0	0	0	0	0	0	260	610	0
<b>TOTAL PROGRAM</b>	<b>0</b>	<b>3,000</b>	<b>0</b>	<b>8,959</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3,000</b>	<b>9,563</b>	<b>7,944</b>

### FY 2001 Request Agency Goal Totals

Econ Growth	8,959
Democracy	3,000
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

### FY 2001 Account Distribution (DA only)

DA Program Total	0
CSD Program Total	0
<b>TOTAL</b>	<b>0</b>

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account.

## FY 2002 Budget Request by Program/Country

Fiscal Year: 2002      Program/Country: USAID/Mongolia  
 Approp: ESF  
 Scenario:

FY 2002 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2002
SO 1: Accelerate and Broaden Environmentally Sound Private Sector Growth															
Bilateral	6,026	8,450		8,450				0						8,561	5,915
Field Spt		550		550										550	0
	0	9,000	0	9,000	0	0	0	0	0	0	0	0	0	9,111	5,915
SO 2: Consolidate Mongolia's Democratic Transition															
Bilateral	1,918	2,700											2,700	2,728	1,890
Field Spt	0	300											300	300	0
	0	3,000	0	0	0	0	0	0	0	0	0	0	3,000	3,028	1,890
SO 3:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 9:															
Bilateral	0														0
Field Spt	0	0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	7,944	11,150	0	8,450	0	0	0	0	0	0	0	0	2,700	11,289	7,805
Total Field Support	0	850	0	550	0	0	0	0	0	0	0	0	300	850	0
<b>TOTAL PROGRAM</b>	0	12,000	0	9,000	0	0	0	0	0	0	0	0	3,000	12,139	7,805

### FY 2002 Request Agency Goal Totals

Econ Growth	9,000
Democracy	3,000
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

### FY 2002 Account Distribution (DA only)

DA Program Total	12,000
CSD Program Total	0
<b>TOTAL</b>	12,000

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account.

## FY 2003 Budget Request by Program/Country

Fiscal Year: 2003      Program/Country: USAID/Mongolia  
 Approp: ESF  
 Scenario:

FY 2003 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2003
SO 1: Accelerate and Broaden Environmentally Sound Private Sector Growth															
Bilateral	5,915	8,450		8,450				0						8,450	5,915
Field Spt		550		550										550	0
	0	9,000	0	9,000	0	0	0	0	0	0	0	0	0	9,000	5,915
SO 2: Consolidate Mongolia's Democratic Transition															
Bilateral	1,890	2,700											2,700	2,700	1,890
Field Spt		300											300	300	0
	0	3,000	0	0	0	0	0	0	0	0	0	0	3,000	3,000	1,890
SO 3:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 9:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	7,805	11,150	0	8,450	0	0	0	0	0	0	0	0	2,700	11,150	7,805
Total Field Support	0	850	0	550	0	0	0	0	0	0	0	0	300	850	0
<b>TOTAL PROGRAM</b>	<b>0</b>	<b>12,000</b>	<b>0</b>	<b>9,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3,000</b>	<b>12,000</b>	<b>7,805</b>

### FY 2003 Request Agency Goal Totals

Econ Growth	9,000
Democracy	3,000
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

### FY 2003 Account Distribution (DA only)

DA Program Total	12,000
CSD Program Total	0
<b>TOTAL</b>	<b>12,000</b>

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account.

## FY 2001 Budget Request by Program/Country

Fiscal Year: 2001      Program/Country: USAID/Mongolia  
 Approp: FSA  
 Scenario:

FY 2001 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2001
SO 1: Accelerate and Broaden Environmentally Sound Private Sector Growth															
Bilateral	4,719	0						0						3,775	944
Field Spt		0												0	0
	4,719	0	0	0	0	0	0	0	0	0		0	0	3,775	944
SO 2: Consolidate Mongolia's Democratic Transition															
Bilateral	888	0												710	178
Field Spt		0												0	0
	888	0	0	0	0	0	0	0	0	0		0	0	710	178
SO 3:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0		0	0	0	0
SO 4:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0		0	0	0	0
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0		0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0		0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0		0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0		0	0	0	0
Total Bilateral	5,607	0	0	0	0	0	0	0	0	0		0	0	4,485	1,122
Total Field Support	0	0	0	0	0	0	0	0	0	0		0	0	0	0
TOTAL PROGRAM	5,607	0	0	0	0	0	0	0	0	0		0	0	4,485	1,122

FY 2001 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

FY 2001 Account Distribution (DA only)	
DA Program Total	0
CSD Program Total	0
<b>TOTAL</b>	<b>0</b>

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)  
 Prepare one set of tables for each appropriation Account  
 Tables for DA and CSD may be combined on one table.  
 For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

## FY 2002 Budget Request by Program/Country

Fiscal Year: 2002      Program/Country: USAID/Mongolia  
 Approp: FSA  
 Scenario:

FY 2002 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2002
SO 1: Accelerate and Broaden Environmentally Sound Private Sector Growth															
Bilateral	944	0						0						944	0
Field Spt		0													0
	944	0	0	0	0	0	0	0	0	0	0	0	0	944	0
SO 2: Consolidate Mongolia's Democratic Transition															
Bilateral	178	0												178	0
Field Spt		0													0
	178	0	0	0	0	0	0	0	0	0	0	0	0	178	0
SO 3:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	1,122	0	0	0	0	0	0	0	0	0	0	0	0	1,122	0
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM	1,122	0	0	0	0	0	0	0	0	0	0	0	0	1,122	0

### FY 2002 Request Agency Goal Totals

Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

### FY 2002 Account Distribution (DA only)

DA Program Total	0
CSD Program Total	0
<b>TOTAL</b>	<b>0</b>

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

### Washington and Overseas Workforce Tables

Org:USAID/Mongolia End of year On-Board								Total SO/SpO	Org. Mgmt.	Fin. Mgmt.	Admin. Mgmt.	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
<b>FY 2001 Estimate</b>	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2									
<b>OE Funded: 1/</b>																
U.S. Direct Hire	0.4	0.3	0					0.7	0.2					0.1	0.3	1
Other U.S. Citizens								0							0	0
FSN/TCN Direct Hire								0							0	0
Other FSN/TCN								0	2						2	2
Subtotal	0.4	0.3	0	0	0	0	0	0.7	2.2	0	0	0	0	0.1	2.3	3
<b>Program Funded 1/</b>																
U.S. Citizens	0.6	0.4						1							0	1
FSNs/TCNs	2.2	1.8						4							0	4
Subtotal	2.8	2.2	0	0	0	0	0	5	0	0	0	0	0	0	0	5
Total Direct Workforce	3.2	2.5	0	0	0	0	0	5.7	2.2	0	0	0	0	0.1	2.3	8
TAACS								0							0	0
Fellows								0							0	0
NEPs								0							0	0
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL WORKFORCE	3.2	2.5	0	0	0	0	0	5.7	2.2	0	0	0	0	0.1	2.3	8



### Washington and Overseas Workforce Tables

Org: USAID/Mongolia End of year On-Board								Total SO/SpO	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
<b>FY 2002 Target</b>	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2									
<b>OE Funded: 1/</b>																
U.S. Direct Hire	0.4	0.3						0.7	0.2					0.1	0.3	1
Other U.S. Citizens								0							0	0
FSN/TCN Direct Hire								0							0	0
Other FSN/TCN								0	2						2	2
Subtotal	0.4	0.3	0	0	0	0	0	0.7	2.2	0	0	0	0	0.1	2.3	3
<b>Program Funded 1/</b>																
U.S. Citizens	0.6	0.4						1							0	1
FSNs/TCNs	2.2	1.8						4							0	4
Subtotal	2.8	2.2	0	0	0	0	0	5	0	0	0	0	0	0	0	5
Total Direct Workforce	3.2	2.5	0	0	0	0	0	5.7	2.2	0	0	0	0	0.1	2.3	8
TAACS								0							0	0
Fellows								0							0	0
IDIs								0							0	0
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL WORKFORCE	3.2	2.5	0	0	0	0	0	5.7	2.2	0	0	0	0	0.1	2.3	8

### Washington and Overseas Workforce Tables

Org: USAID/Mongolia End of year On-Board								Total SO/SpO Staff	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
<b>FY 2003 Target</b>	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2									
<b>OE Funded: 1/</b>																
U.S. Direct Hire	0.4	0.3						0.7	0.2					0.1	0.3	1
Other U.S. Citizens								0							0	0
FSN/TCN Direct Hire								0							0	0
Other FSN/TCN								0	2						2	2
Subtotal	0.4	0.3	0	0	0	0	0	0.7	2.2	0	0	0	0	0.1	2.3	3
<b>Program Funded 1/</b>																
U.S. Citizens	0.6	0.4						1							0	1
FSNs/TCNs	2.2	1.8						4							0	4
Subtotal	2.8	2.2	0	0	0	0	0	5	0	0	0	0	0	0	0	5
Total Direct Workforce	3.2	2.5	0	0	0	0	0	5.7	2.2	0	0	0	0	0.1	2.3	8
TAACS								0							0	0
Fellows								0							0	0
IDIs								0							0	0
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL WORKFORCE	3.2	2.5	0	0	0	0	0	5.7	2.2	0	0	0	0	0.1	2.3	8

### Washington and Overseas Workforce Tables

Org: USAID/Mongolia End of year On-Board								Total SO/SpO Staff						Total Mgmt.	Total Staff	
FY 2003 Request	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2		Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con- tract	Legal	All Other		
OE Funded: 1/ U.S. Direct Hire Other U.S. Citizens FSN/TCN Direct Hire Other FSN/TCN	0.4	0.3						0.7 0 0 0	0.2					0.1	0.3 0 0 2	1 0 0 2
Subtotal	0.4	0.3	0	0	0	0	0	0.7	2.2	0	0	0	0	0.1	2.3	3
Program Funded 1/ U.S. Citizens FSNs/TCNs Subtotal	0.6 2.2 2.8	0.4 1.8 2.2					0	1 4 5							0 0 0	1 4 5
Total Direct Workforce	3.2	2.5	0	0	0	0	0	5.7	2.2	0	0	0	0	0.1	2.3	8
TAACS Fellows IDIs								0 0 0							0 0 0	0 0 0
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL WORKFORCE	3.2	2.5	0	0	0	0	0	5.7	2.2	0	0	0	0	0.1	2.3	8

# USDH Staffing Requirements by Backstop, FY 2001 - FY 2004

Mission: USAID/Mongolia

please fill in mission name

Occupational Backstop (BS)	Number of USDH Employees in Backstop in:			
	FY 2001	FY 2002	FY 2003	FY 2004
Senior Management				
<b>SMG - 01</b>	1	1	1	1
Program Management				
<b>Program Mgt - 02</b>				
<b>Project Dvpm Officer - 94</b>				
Support Management				
<b>EXO - 03</b>				
<b>Controller - 04</b>				
<b>Legal - 85</b>				
<b>Commodity Mgt. - 92</b>				
<b>Contract Mgt. - 93</b>				
Sector Management				
<b>Agriculture - 10 &amp; 14</b>				
<b>Economics - 11</b>				
<b>Democracy - 12</b>				
<b>Food for Peace - 15</b>				
<b>Private Enterprise - 21</b>				
<b>Engineering - 25</b>				
<b>Environment - 40 &amp; 75</b>				
<b>Health/Pop. - 50</b>				
<b>Education - 60</b>				
<b>Total</b>	1	1	1	1

**GDOs:** If you have a position that is currently designated a BS-12 GDO, list that position under the occupational backstop that most closely reflects the skills needed for the position.

**RUDOs:** do not forget to include those who were in UE-funded RUDO positions.

remaining **IDIs:** list under the occupational Backstop for the work they do.

Please e-mail this worksheet in Excel to: Maribeth Zankowski@HR.PPIM@aidw and to M. Cary Kauffman@HR.PPIM@aidw as well as include it with your R4 submission.

**OPERATING EXPENSES**

<b>Org. Title: USAID/MONGOLIA</b>		<b>FY 2001 Estimate</b>			<b>FY 2002 Target</b>			<b>FY 2003 Target</b>			<b>FY 2003 Request</b>		
<b>Org. No: _____</b>		<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>
<b>OC</b>													
11.1	Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH			0.0			0.0			0.0			0.0
	Subtotal OC 11.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.3	Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH			0.0			0.0			0.0			0.0
	Subtotal OC 11.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.5	Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH			0.0			0.0			0.0			0.0
11.5	FNDH			0.0			0.0			0.0			0.0
	Subtotal OC 11.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.8	Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries			0.0			0.0			0.0			0.0
11.8	FN PSC Salaries	15.5		15.5	17.0		17.0	18.7		18.7	18.7		18.7
11.8	IPA/Details-In/PASAs/RSSAs Salaries			0.0			0.0			0.0			0.0
	Subtotal OC 11.8	15.5	0.0	15.5	17.0	0.0	17.0	18.7	0.0	18.7	18.7	0.0	18.7
12.1	Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances	28.0		28.0	28.0		28.0	28.0		28.0	28.0		28.0
12.1	Cost of Living Allowances			0.0			0.0			0.0			0.0
12.1	Home Service Transfer Allowances			0.0			0.0			0.0			0.0
12.1	Quarters Allowances			0.0			0.0			0.0			0.0
12.1	Other Misc. USDH Benefits	7.9		7.9			0.0			0.0			0.0
12.1	FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	* Payments to FSN Voluntary Separation Fund - FNDH			0.0			0.0			0.0			0.0
12.1	Other FNDH Benefits			0.0			0.0			0.0			0.0
12.1	US PSC Benefits			0.0			0.0			0.0			0.0
12.1	FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	* Payments to FSN Voluntary Separation Fund - FN PSC			0.0	3.6		3.6	1.1		1.1	1.1		1.1
12.1	Other FN PSC Benefits			0.0			0.0			0.0			0.0
12.1	IPA/Detail-In/PASA/RSSA Benefits			0.0			0.0			0.0			0.0
	Subtotal OC 12.1	35.9	0.0	35.9	31.6	0.0	31.6	29.1	0.0	29.1	29.1	0.0	29.1
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH			0.0			0.0			0.0			0.0
13.0	Other Benefits for Former Personnel - FNDH			0.0			0.0			0.0			0.0
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0.0			0.0			0.0			0.0
13.0	Other Benefits for Former Personnel - FN PSCs			0.0			0.0			0.0			0.0
	Subtotal OC 13.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel	10.0		10.0	10.0		10.0	10.0		10.0	10.0		10.0
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		

**OPERATING EXPENSES**

<b>Org. Title: USAID/MONGOLIA</b>		<b>FY 2001 Estimate</b>			<b>FY 2002 Target</b>			<b>FY 2003 Target</b>			<b>FY 2003 Request</b>		
<b>Org. No: _____</b>													
<b>OC</b>		<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>
21.0	Post Assignment Travel - to field	7.9		7.9			0.0			0.0			0.0
21.0	Assignment to Washington Travel			0.0			0.0			0.0			0.0
21.0	Home Leave Travel	2.3		2.3			0.0	9.2		9.2	9.2		9.2
21.0	R & R Travel			0.0	7.2		7.2			0.0			0.0
21.0	Education Travel			0.0			0.0			0.0			0.0
21.0	Evacuation Travel			0.0			0.0			0.0			0.0
21.0	Retirement Travel			0.0			0.0			0.0			0.0
21.0	Pre-Employment Invitational Travel			0.0			0.0			0.0			0.0
21.0	Other Mandatory/Statutory Travel			0.0			0.0			0.0			0.0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel	10.0		10.0	10.0		10.0	10.0		10.0	10.0		10.0
21.0	Site Visits - Mission Personnel	20.0		20.0	40.0		40.0	30.0		30.0	30.0		30.0
21.0	Conferences/Seminars/Meetings/Retreats	10.0		10.0	10.0		10.0	10.0		10.0	10.0		10.0
21.0	Assessment Travel			0.0			0.0			0.0			0.0
21.0	Impact Evaluation Travel			0.0			0.0			0.0			0.0
21.0	Disaster Travel (to respond to specific disasters)			0.0			0.0			0.0			0.0
21.0	Recruitment Travel			0.0			0.0			0.0			0.0
21.0	Other Operational Travel			0.0			0.0			0.0			0.0
	Subtotal OC 21.0	60.2	0.0	60.2	77.2	0.0	77.2	69.2	0.0	69.2	69.2	0.0	69.2
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight	20.0		20.0			0.0			0.0			0.0
22.0	Home Leave Freight	0.9		0.9			0.0	2.6		2.6	2.6		2.6
22.0	Retirement Freight			0.0			0.0			0.0			0.0
22.0	Transportation/Freight for Office Furniture/Equip.			0.0			0.0			0.0			0.0
22.0	Transportation/Freight for Res. Furniture/Equip.	1.0		1.0			0.0			0.0			0.0
	Subtotal OC 22.0	21.9	0.0	21.9	0.0	0.0	0.0	2.6	0.0	2.6	2.6	0.0	2.6
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0.0			0.0			0.0			0.0
23.2	Rental Payments to Others - Warehouse Space			0.0			0.0			0.0			0.0
23.2	Rental Payments to Others - Residences	51.5		51.5	45.0		45.0	50.0		50.0	50.0		50.0
	Subtotal OC 23.2	51.5	0.0	51.5	45.0	0.0	45.0	50.0	0.0	50.0	50.0	0.0	50.0
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0.0			0.0			0.0			0.0
23.3	Residential Utilities	1.5		1.5	3.0		3.0	3.0		3.0	3.0		3.0
23.3	Telephone Costs	6.0		6.0	6.0		6.0	6.0		6.0	6.0		6.0
23.3	IT Software Leases			0.0			0.0			0.0			0.0
23.3	IT Hardware Lease			0.0			0.0			0.0			0.0
23.3	Commercial Time Sharing			0.0			0.0			0.0			0.0
23.3	Postal Fees (Other than APO Mail)			0.0			0.0			0.0			0.0
23.3	Other Mail Service Costs			0.0			0.0			0.0			0.0
23.3	Courier Services	2.5		2.5	2.5		2.5	2.5		2.5	2.5		2.5
	Subtotal OC 23.3	10.0	0.0	10.0	11.5	0.0	11.5	11.5	0.0	11.5	11.5	0.0	11.5
24.0	Printing and Reproduction	2.0		2.0	2.0		2.0	2.0		2.0	2.0		2.0
	Subtotal OC 24.0	2.0	0.0	2.0	2.0	0.0	2.0	2.0	0.0	2.0	2.0	0.0	2.0

**OPERATING EXPENSES**

<b>Org. Title: USAID/MONGOLIA</b>													
<b>Org. No: _____</b>													
<b>OC</b>		<b>FY 2001 Estimate</b>			<b>FY 2002 Target</b>			<b>FY 2003 Target</b>			<b>FY 2003 Request</b>		
		<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0.0			0.0			0.0			0.0
25.1	Management & Professional Support Services			0.0			0.0			0.0			0.0
25.1	Engineering & Technical Services			0.0			0.0			0.0			0.0
	Subtotal OC 25.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards			0.0			0.0			0.0			0.0
25.2	Residential Security Guard Services			0.0			0.0			0.0			0.0
25.2	Official Residential Expenses			0.0			0.0			0.0			0.0
25.2	Representation Allowances	0.8		0.8	0.8		0.8	0.8		0.8	0.8		0.8
25.2	Non-Federal Audits			0.0			0.0			0.0			0.0
25.2	Grievances/Investigations			0.0			0.0			0.0			0.0
25.2	Insurance and Vehicle Registration Fees			0.0			0.0			0.0			0.0
25.2	Vehicle Rental			0.0			0.0			0.0			0.0
25.2	Manpower Contracts	5.0		5.0	5.0		5.0	5.0		5.0	5.0		5.0
25.2	Records Declassification & Other Records Services			0.0			0.0			0.0			0.0
25.2	Recruiting activities			0.0			0.0			0.0			0.0
25.2	Penalty Interest Payments			0.0			0.0			0.0			0.0
25.2	Other Miscellaneous Services	3.0		3.0	3.0		3.0	3.0		3.0	3.0		3.0
25.2	Staff training contracts	2.0		2.0	2.0		2.0	2.0		2.0	2.0		2.0
25.2	IT related contracts			0.0			0.0			0.0			0.0
	Subtotal OC 25.2	10.8	0.0	10.8	10.8	0.0	10.8	10.8	0.0	10.8	10.8	0.0	10.8
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS	65.5		65.5	75.3		75.3	76.6		76.6	76.6		76.6
25.3	All Other Services from Other Gov't. accounts			0.0			0.0			0.0			0.0
	Subtotal OC 25.3	65.5	0.0	65.5	75.3	0.0	75.3	76.6	0.0	76.6	76.6	0.0	76.6
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance	0.5		0.5	0.5		0.5	0.5		0.5	0.5		0.5
25.4	Residential Building Maintenance	0.5		0.5	0.5		0.5	0.5		0.5	0.5		0.5
	Subtotal OC 25.4	1.0	0.0	1.0	1.0	0.0	1.0	1.0	0.0	1.0	1.0	0.0	1.0
25.6	Medical Care												
	Subtotal OC 25.6	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	IT and telephone operation and maintenance costs	2.5		2.5	2.5		2.5	2.5		2.5	2.5		2.5
25.7	Storage Services			0.0			0.0			0.0			0.0
25.7	Office Furniture/Equip. Repair and Maintenance	0.5		0.5	0.5		0.5	0.5		0.5	0.5		0.5
25.7	Vehicle Repair and Maintenance	2.0		2.0	2.0		2.0	2.0		2.0	2.0		2.0
25.7	Residential Furniture/Equip. Repair and Maintenance			0.0			0.0			0.0			0.0
	Subtotal OC 25.7	5.0	0.0	5.0	5.0	0.0	5.0	5.0	0.0	5.0	5.0	0.0	5.0
25.8	Subsistence & spt. of persons (by contract or Gov't.)			0.0			0.0			0.0			0.0

**OPERATING EXPENSES**

<b>Org. Title: USAID/MONGOLIA</b> <b>Org. No: _____</b>												
OC	FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
Subtotal OC 25.8	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
26.0 Supplies and materials	10.0		10.0	10.0		10.0	10.0		10.0	10.0		10.0
Subtotal OC 26.0	10.0	0.0	10.0	10.0	0.0	10.0	10.0	0.0	10.0	10.0	0.0	10.0
31.0 Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0 Purchase of Residential Furniture/Equip.	20.0		20.0	4.0		4.0	4.0		4.0	4.0		4.0
31.0 Purchase of Office Furniture/Equip.	2.0		2.0	2.0		2.0	2.0		2.0	2.0		2.0
31.0 Purchase of Vehicles			0.0			0.0			0.0			0.0
31.0 Armoring of Vehicles			0.0			0.0			0.0			0.0
31.0 Purchase of Printing/Graphics Equipment			0.0			0.0			0.0			0.0
31.0 IT Hardware purchases	18.3		18.3	5.0		5.0	5.0		5.0	5.0		5.0
31.0 IT Software purchases	3.0		3.0	1.6		1.6	1.5		1.5	1.5		1.5
Subtotal OC 31.0	43.3	0.0	43.3	12.6	0.0	12.6	12.5	0.0	12.5	12.5	0.0	12.5
32.0 Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0 Purchase of Land & Buildings (& bldg. construction)			0.0			0.0			0.0			0.0
32.0 Purchase of fixed equipment for buildings			0.0			0.0			0.0			0.0
32.0 Purchase of fixed security equipment for buildings			0.0			0.0			0.0			0.0
32.0 Building Renovations/Alterations - Office			0.0			0.0			0.0			0.0
32.0 Building Renovations/Alterations - Residential			0.0			0.0			0.0			0.0
Subtotal OC 32.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
42.0 Claims and indemnities			0.0			0.0			0.0			0.0
Subtotal OC 42.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>TOTAL BUDGET</b>	<b>332.6</b>	<b>0.0</b>	<b>332.6</b>	<b>299.0</b>	<b>0.0</b>	<b>299.0</b>	<b>299.0</b>	<b>0.0</b>	<b>299.0</b>	<b>299.0</b>	<b>0.0</b>	<b>299.0</b>

**Additional Mandatory Information**

<b>Dollars Used for Local Currency Purchases</b>	<u>\$29.00</u>	<u>\$30.50</u>	<u>\$30.50</u>
<b>Exchange Rate Used in Computations</b>	<u>Tg1,099:\$1</u> _____	<u>Tg1,099:\$1</u> _____	<u>Tg1,099:\$1</u> _____

\* If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.  
On that form, OE funded deposits must equal: 0.0 3.6 1.1



Organization: USAID/Mongolia

Foreign National Voluntary Separation Account									
Action	FY 2001			FY 2002			FY 2003		
	OE	Program	Total	OE	Program	Total	OE	Program	Total
Deposits		5.2	5.2	3.6	6.8	10.4	1.1	4.6	5.7
Withdrawals			0.0			0.0			0.0

Local Currency Trust Funds - Regular				
	FY 2001 Estimate	FY 2002 Target	FY 2003 Target	FY 2003 Request
Balance Start of Year				
Obligations				
Deposits				
Balance End of Year	0.0	0.0	0.0	0.0

Exchange Rate

\_\_\_\_\_

Local Currency Trust Funds - Real Property				
	FY 2001 Estimate	FY 2002 Target	FY 2003 Target	FY 2003 Request
Balance Start of Year				
Obligations				
Deposits				
Balance End of Year	0.0	0.0	0.0	0.0

Exchange Rate

\_\_\_\_\_

### Cost of Controller Operations

<b>Org. Title:</b> _____														
<b>Org. No:</b> _____														
<b>OC</b>			<b>FY 2001 Estimate</b>			<b>FY 2002 Target</b>			<b>FY 2003 Target</b>			<b>FY 2003 Request</b>		
			<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>
11.1	Personnel compensation, full-time permanent		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH		0.0			0.0			0.0			0.0		
	Subtotal OC 11.1		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.3	Personnel comp. - other than full-time permanent		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH		0.0			0.0			0.0			0.0		
	Subtotal OC 11.3		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.5	Other personnel compensation		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH		0.0			0.0			0.0			0.0		
11.5	FNDH		0.0			0.0			0.0			0.0		
	Subtotal OC 11.5		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.8	Special personal services payments		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries		0.0			0.0			0.0			0.0		
11.8	FN PSC Salaries		0.0			0.0			0.0			0.0		
11.8	IPA/Details-In/PASAs/RSSAs Salaries		0.0			0.0			0.0			0.0		
	Subtotal OC 11.8		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
12.1	Personnel benefits		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances		0.0			0.0			0.0			0.0		
12.1	Cost of Living Allowances		0.0			0.0			0.0			0.0		
12.1	Home Service Transfer Allowances		0.0			0.0			0.0			0.0		
12.1	Quarters Allowances		0.0			0.0			0.0			0.0		
12.1	Other Misc. USDH Benefits		0.0			0.0			0.0			0.0		
12.1	FNDH Benefits		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	*	Payments to FSN Voluntary Separation Fund - FNDH	0.0			0.0			0.0			0.0		
12.1	Other FNDH Benefits		0.0			0.0			0.0			0.0		
12.1	US PSC Benefits		0.0			0.0			0.0			0.0		
12.1	FN PSC Benefits		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	*	Payments to FSN Voluntary Separation Fund - FN PSC	0.0			0.0			0.0			0.0		
12.1	Other FN PSC Benefits		0.0			0.0			0.0			0.0		
12.1	IPA/Detail-In/PASA/RSSA Benefits		0.0			0.0			0.0			0.0		
	Subtotal OC 12.1		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
13.0	Benefits for former personnel		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH		0.0			0.0			0.0			0.0		
13.0	Other Benefits for Former Personnel - FNDH		0.0			0.0			0.0			0.0		

### Cost of Controller Operations

Org. Title: _____													
Org. No: _____													
OC		FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0.0			0.0			0.0			0.0
13.0	Other Benefits for Former Personnel - FN PSCs			0.0			0.0			0.0			0.0
	Subtotal OC 13.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel			0.0			0.0			0.0			0.0
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field			0.0			0.0			0.0			0.0
21.0	Assignment to Washington Travel			0.0			0.0			0.0			0.0
21.0	Home Leave Travel			0.0			0.0			0.0			0.0
21.0	R & R Travel			0.0			0.0			0.0			0.0
21.0	Education Travel			0.0			0.0			0.0			0.0
21.0	Evacuation Travel			0.0			0.0			0.0			0.0
21.0	Retirement Travel			0.0			0.0			0.0			0.0
21.0	Pre-Employment Invitational Travel			0.0			0.0			0.0			0.0
21.0	Other Mandatory/Statutory Travel			0.0			0.0			0.0			0.0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel			0.0			0.0			0.0			0.0
21.0	Site Visits - Mission Personnel			0.0			0.0			0.0			0.0
21.0	Conferences/Seminars/Meetings/Retreats			0.0			0.0			0.0			0.0
21.0	Assessment Travel			0.0			0.0			0.0			0.0
21.0	Impact Evaluation Travel			0.0			0.0			0.0			0.0
21.0	Disaster Travel (to respond to specific disasters)			0.0			0.0			0.0			0.0
21.0	Recruitment Travel			0.0			0.0			0.0			0.0
21.0	Other Operational Travel			0.0			0.0			0.0			0.0
	Subtotal OC 21.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight			0.0			0.0			0.0			0.0
22.0	Home Leave Freight			0.0			0.0			0.0			0.0
22.0	Retirement Freight			0.0			0.0			0.0			0.0
22.0	Transportation/Freight for Office Furniture/Equip.			0.0			0.0			0.0			0.0
22.0	Transportation/Freight for Res. Furniture/Equip.			0.0			0.0			0.0			0.0
	Subtotal OC 22.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0.0			0.0			0.0			0.0
23.2	Rental Payments to Others - Warehouse Space			0.0			0.0			0.0			0.0
23.2	Rental Payments to Others - Residences			0.0			0.0			0.0			0.0

### Cost of Controller Operations

<b>Org. Title:</b> _____												
<b>Org. No:</b> _____												
<b>OC</b>	<b>FY 2001 Estimate</b>			<b>FY 2002 Target</b>			<b>FY 2003 Target</b>			<b>FY 2003 Request</b>		
	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>
Subtotal OC 23.2	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3 Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3 Office Utilities			0.0			0.0			0.0			0.0
23.3 Residential Utilities			0.0			0.0			0.0			0.0
23.3 Telephone Costs			0.0			0.0			0.0			0.0
23.3 IT Software Leases			0.0			0.0			0.0			0.0
23.3 IT Hardware Lease			0.0			0.0			0.0			0.0
23.3 Commercial Time Sharing			0.0			0.0			0.0			0.0
23.3 Postal Fees (Other than APO Mail)			0.0			0.0			0.0			0.0
23.3 Other Mail Service Costs			0.0			0.0			0.0			0.0
23.3 Courier Services			0.0			0.0			0.0			0.0
Subtotal OC 23.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
24.0 Printing and Reproduction			0.0			0.0			0.0			0.0
Subtotal OC 24.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.1 Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1 Studies, Analyses, & Evaluations			0.0			0.0			0.0			0.0
25.1 Management & Professional Support Services			0.0			0.0			0.0			0.0
25.1 Engineering & Technical Services			0.0			0.0			0.0			0.0
Subtotal OC 25.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2 Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2 Office Security Guards			0.0			0.0			0.0			0.0
25.2 Residential Security Guard Services			0.0			0.0			0.0			0.0
25.2 Official Residential Expenses			0.0			0.0			0.0			0.0
25.2 Representation Allowances			0.0			0.0			0.0			0.0
25.2 Non-Federal Audits			0.0			0.0			0.0			0.0
25.2 Grievances/Investigations			0.0			0.0			0.0			0.0
25.2 Insurance and Vehicle Registration Fees			0.0			0.0			0.0			0.0
25.2 Vehicle Rental			0.0			0.0			0.0			0.0
25.2 Manpower Contracts			0.0			0.0			0.0			0.0
25.2 Records Declassification & Other Records Services			0.0			0.0			0.0			0.0
25.2 Recruiting activities			0.0			0.0			0.0			0.0
25.2 Penalty Interest Payments			0.0			0.0			0.0			0.0
25.2 Other Miscellaneous Services			0.0			0.0			0.0			0.0
25.2 Staff training contracts			0.0			0.0			0.0			0.0
25.2 IT related contracts			0.0			0.0			0.0			0.0
Subtotal OC 25.2	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

### Cost of Controller Operations

<b>Org. Title:</b> _____ <b>Org. No:</b> _____ <b>OC</b>											
FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.3	Purchase of goods and services from Government accounts		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS		0.0			0.0			0.0		
25.3	All Other Services from Other Gov't. accounts		0.0			0.0			0.0		
	Subtotal OC 25.3		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.4	Operation and maintenance of facilities		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance		0.0			0.0			0.0		
25.4	Residential Building Maintenance		0.0			0.0			0.0		
	Subtotal OC 25.4		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.6	Medical Care										
	Subtotal OC 25.6		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.7	Operation/maintenance of equipment & storage of goods		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	IT and telephone operation and maintenance costs		0.0			0.0			0.0		
25.7	Storage Services		0.0			0.0			0.0		
25.7	Office Furniture/Equip. Repair and Maintenance		0.0			0.0			0.0		
25.7	Vehicle Repair and Maintenance		0.0			0.0			0.0		
25.7	Residential Furniture/Equip. Repair and Maintenance		0.0			0.0			0.0		
	Subtotal OC 25.7		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.8	Substance & spt. of persons (by contract or Gov't.)		0.0			0.0			0.0		
	Subtotal OC 25.8		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
26.0	Supplies and materials		0.0			0.0			0.0		
	Subtotal OC 26.0		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
31.0	Equipment		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.		0.0			0.0			0.0		
31.0	Purchase of Office Furniture/Equip.		0.0			0.0			0.0		
31.0	Purchase of Vehicles		0.0			0.0			0.0		
31.0	Armoring of Vehicles		0.0			0.0			0.0		
31.0	Purchase of Printing/Graphics Equipment		0.0			0.0			0.0		
31.0	IT Hardware purchases		0.0			0.0			0.0		
31.0	IT Software purchases		0.0			0.0			0.0		
	Subtotal OC 31.0		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
32.0	Lands and structures		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		

### Cost of Controller Operations

<b>Org. Title:</b> _____												
<b>Org. No:</b> _____												
<b>OC</b>												
32.0	Purchase of Land & Buildings (& bldg. construction)			0.0		0.0		0.0		0.0		0.0
32.0	Purchase of fixed equipment for buildings			0.0		0.0		0.0		0.0		0.0
32.0	Purchase of fixed security equipment for buildings			0.0		0.0		0.0		0.0		0.0
32.0	Building Renovations/Alterations - Office			0.0		0.0		0.0		0.0		0.0
32.0	Building Renovations/Alterations - Residential			0.0		0.0		0.0		0.0		0.0
	Subtotal OC 32.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
42.0	Claims and indemnities			0.0		0.0		0.0		0.0		0.0
	Subtotal OC 42.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	<b>TOTAL BUDGET</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>

#### Additional Mandatory Information

**Dollars Used for Local Currency Purchases**

**Exchange Rate Used in Computations**

\_\_\_\_\_

\* If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.  
On that form, OE funded deposits must equal:

0.0 0.0 0.0

## Accessing Global Bureau Services Through Field Support and Buy-Ins

Objective Name	Field Support and Buy-Ins: Activity Title & Number	Priority *	Duration	Estimated Funding (\$000)			
				FY 2002 Obligated by:		FY 2003 Obligated by:	
				Operating Unit	Global Bureau	Operating Unit	Global Bureau
SO1	Barents			1,500		1,500	
SO1	TCI			1,000		1,000	
SO1	GTN				200		200
SO1	DOI				350		350
SO2	IRI				300		300
<b>GRAND TOTAL.....</b>							

\* For Priorities use high, medium-high, medium, medium-low, low

**USAID Costs as ICASS Service Provider**

<b>Org. Title:</b> _____														
<b>Org. No:</b> _____														
<b>OC</b>			<b>FY 2001 Estimate</b>			<b>FY 2002 Target</b>			<b>FY 2003 Target</b>			<b>FY 2003 Request</b>		
			<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>
11.1	Personnel compensation, full-time permanent		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH		0.0			0.0			0.0			0.0		
	Subtotal OC 11.1		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.3	Personnel comp. - other than full-time permanent		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH		0.0			0.0			0.0			0.0		
	Subtotal OC 11.3		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.5	Other personnel compensation		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH		0.0			0.0			0.0			0.0		
11.5	FNDH		0.0			0.0			0.0			0.0		
	Subtotal OC 11.5		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.8	Special personal services payments		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries		0.0			0.0			0.0			0.0		
11.8	FN PSC Salaries		0.0			0.0			0.0			0.0		
11.8	IPA/Details-In/PASAs/RSSAs Salaries		0.0			0.0			0.0			0.0		
	Subtotal OC 11.8		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
12.1	Personnel benefits		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances		0.0			0.0			0.0			0.0		
12.1	Cost of Living Allowances		0.0			0.0			0.0			0.0		
12.1	Home Service Transfer Allowances		0.0			0.0			0.0			0.0		
12.1	Quarters Allowances		0.0			0.0			0.0			0.0		
12.1	Other Misc. USDH Benefits		0.0			0.0			0.0			0.0		
12.1	FNDH Benefits		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Payments to FSN Voluntary Separation Fund - FNDH		0.0			0.0			0.0			0.0		
12.1	Other FNDH Benefits		0.0			0.0			0.0			0.0		
12.1	US PSC Benefits		0.0			0.0			0.0			0.0		
12.1	FN PSC Benefits		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Payments to FSN Voluntary Separation Fund - FN PSC		0.0			0.0			0.0			0.0		
12.1	Other FN PSC Benefits		0.0			0.0			0.0			0.0		
12.1	IPA/Detail-In/PASA/RSSA Benefits		0.0			0.0			0.0			0.0		
	Subtotal OC 12.1		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
13.0	Benefits for former personnel		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	FNDH		Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FNDH		0.0			0.0			0.0			0.0		
13.0	Other Benefits for Former Personnel - FNDH		0.0			0.0			0.0			0.0		



**USAID Costs as ICASS Service Provider**

Org. Title: _____													
Org. No: _____													
OC		FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0	Severance Payments for FN PSCs			0.0			0.0			0.0			0.0
13.0	Other Benefits for Former Personnel - FN PSCs			0.0			0.0			0.0			0.0
	Subtotal OC 13.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Training Travel			0.0			0.0			0.0			0.0
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Post Assignment Travel - to field			0.0			0.0			0.0			0.0
21.0	Assignment to Washington Travel			0.0			0.0			0.0			0.0
21.0	Home Leave Travel			0.0			0.0			0.0			0.0
21.0	R & R Travel			0.0			0.0			0.0			0.0
21.0	Education Travel			0.0			0.0			0.0			0.0
21.0	Evacuation Travel			0.0			0.0			0.0			0.0
21.0	Retirement Travel			0.0			0.0			0.0			0.0
21.0	Pre-Employment Invitational Travel			0.0			0.0			0.0			0.0
21.0	Other Mandatory/Statutory Travel			0.0			0.0			0.0			0.0
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0	Site Visits - Headquarters Personnel			0.0			0.0			0.0			0.0
21.0	Site Visits - Mission Personnel			0.0			0.0			0.0			0.0
21.0	Conferences/Seminars/Meetings/Retreats			0.0			0.0			0.0			0.0
21.0	Assessment Travel			0.0			0.0			0.0			0.0
21.0	Impact Evaluation Travel			0.0			0.0			0.0			0.0
21.0	Disaster Travel (to respond to specific disasters)			0.0			0.0			0.0			0.0
21.0	Recruitment Travel			0.0			0.0			0.0			0.0
21.0	Other Operational Travel			0.0			0.0			0.0			0.0
	Subtotal OC 21.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0	Post assignment freight			0.0			0.0			0.0			0.0
22.0	Home Leave Freight			0.0			0.0			0.0			0.0
22.0	Retirement Freight			0.0			0.0			0.0			0.0
22.0	Transportation/Freight for Office Furniture/Equip.			0.0			0.0			0.0			0.0
22.0	Transportation/Freight for Res. Furniture/Equip.			0.0			0.0			0.0			0.0
	Subtotal OC 22.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0.0			0.0			0.0			0.0
23.2	Rental Payments to Others - Warehouse Space			0.0			0.0			0.0			0.0
23.2	Rental Payments to Others - Residences			0.0			0.0			0.0			0.0

**USAID Costs as ICASS Service Provider**

<b>Org. Title:</b> _____												
<b>Org. No:</b> _____												
<b>OC</b>	<b>FY 2001 Estimate</b>			<b>FY 2002 Target</b>			<b>FY 2003 Target</b>			<b>FY 2003 Request</b>		
	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>	<b>Dollars</b>	<b>TF</b>	<b>Total</b>
Subtotal OC 23.2	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3 Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3 Office Utilities			0.0			0.0			0.0			0.0
23.3 Residential Utilities			0.0			0.0			0.0			0.0
23.3 Telephone Costs			0.0			0.0			0.0			0.0
23.3 IT Software Leases			0.0			0.0			0.0			0.0
23.3 IT Hardware Lease			0.0			0.0			0.0			0.0
23.3 Commercial Time Sharing			0.0			0.0			0.0			0.0
23.3 Postal Fees (Other than APO Mail)			0.0			0.0			0.0			0.0
23.3 Other Mail Service Costs			0.0			0.0			0.0			0.0
23.3 Courier Services			0.0			0.0			0.0			0.0
Subtotal OC 23.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
24.0 Printing and Reproduction			0.0			0.0			0.0			0.0
Subtotal OC 24.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.1 Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1 Studies, Analyses, & Evaluations			0.0			0.0			0.0			0.0
25.1 Management & Professional Support Services			0.0			0.0			0.0			0.0
25.1 Engineering & Technical Services			0.0			0.0			0.0			0.0
Subtotal OC 25.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2 Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2 Office Security Guards			0.0			0.0			0.0			0.0
25.2 Residential Security Guard Services			0.0			0.0			0.0			0.0
25.2 Official Residential Expenses			0.0			0.0			0.0			0.0
25.2 Representation Allowances			0.0			0.0			0.0			0.0
25.2 Non-Federal Audits			0.0			0.0			0.0			0.0
25.2 Grievances/Investigations			0.0			0.0			0.0			0.0
25.2 Insurance and Vehicle Registration Fees			0.0			0.0			0.0			0.0
25.2 Vehicle Rental			0.0			0.0			0.0			0.0
25.2 Manpower Contracts			0.0			0.0			0.0			0.0
25.2 Records Declassification & Other Records Services			0.0			0.0			0.0			0.0
25.2 Recruiting activities			0.0			0.0			0.0			0.0
25.2 Penalty Interest Payments			0.0			0.0			0.0			0.0
25.2 Other Miscellaneous Services			0.0			0.0			0.0			0.0
25.2 Staff training contracts			0.0			0.0			0.0			0.0
25.2 IT related contracts			0.0			0.0			0.0			0.0
Subtotal OC 25.2	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

**USAID Costs as ICASS Service Provider**

Org. Title: _____		FY 2001 Estimate			FY 2002 Target			FY 2003 Target			FY 2003 Request		
Org. No: _____		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
OC													
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS			0.0			0.0			0.0			0.0
25.3	All Other Services from Other Gov't. accounts			0.0			0.0			0.0			0.0
	Subtotal OC 25.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance			0.0			0.0			0.0			0.0
25.4	Residential Building Maintenance			0.0			0.0			0.0			0.0
	Subtotal OC 25.4	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.6	Medical Care												
	Subtotal OC 25.6	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	IT and telephone operation and maintenance costs			0.0			0.0			0.0			0.0
25.7	Storage Services			0.0			0.0			0.0			0.0
25.7	Office Furniture/Equip. Repair and Maintenance			0.0			0.0			0.0			0.0
25.7	Vehicle Repair and Maintenance			0.0			0.0			0.0			0.0
25.7	Residential Furniture/Equip. Repair and Maintenance			0.0			0.0			0.0			0.0
	Subtotal OC 25.7	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.8	Subsistance & spt. of persons (by contract or Gov't.)			0.0			0.0			0.0			0.0
	Subtotal OC 25.8	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
26.0	Supplies and materials			0.0			0.0			0.0			0.0
	Subtotal OC 26.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.			0.0			0.0			0.0			0.0
31.0	Purchase of Office Furniture/Equip.			0.0			0.0			0.0			0.0
31.0	Purchase of Vehicles			0.0			0.0			0.0			0.0
31.0	Armoring of Vehicles			0.0			0.0			0.0			0.0
31.0	Purchase of Printing/Graphics Equipment			0.0			0.0			0.0			0.0
31.0	IT Hardware purchases			0.0			0.0			0.0			0.0
31.0	IT Software purchases			0.0			0.0			0.0			0.0
	Subtotal OC 31.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		

## USAID Costs as ICASS Service Provider

[illegible]

### Centrally funded costs

USDH Salaries/Benefits Other Centrally Fund Costs (specify)
<b>Total Centrally Funded Costs</b>
<b>Total ICASS Service Provider Budget</b>

## **Information Annex Topic: Environmental Impact**

**Component 1:** In April 1999 the ANE Bureau Environmental Officer came to Mongolia to review the Mission portfolio. Environmental determinations to ensure compliance with 22 CFR 216 were completed for the following Mission's program elements: 1) ACIDI/VOCA Farmer to Farmer Program; 2) Mercy Corps International Rural Civil Society Program; 3) Global technology Program; and 4) Barents Mongolian Privatization Program.

In November 2000 a team traveled to Mongolia to prepare an amendment to the IEE in connection with an effort by the Mission's Gobi Regional Economic Growth Initiative (GREGI) to rehabilitate water wells in the Gobi Region. The team determined that the activity would not have any adverse environmental impacts and the IEE amendment was approved by the ANE/BEO in December 2000. Thus, FY 2001 activity funds will not have an adverse effect on the natural or physical environment.

**Component 2:** All Mission activities are in compliance with their respective IEEs.

**Information Annex Topic: E&E R4 Detailed Budget Information**

Not applicable to USAID/Mongolia.

**Information Annex Topic: Global Climate Change**

Not applicable to USAID/Mongolia.

## FY00 Climate Change Reporting Guidance - Data Tables

*Please fill in the YELLOW cells to complete the table.*

### Table 1.0 - Background Information

	Country, Region, Office, or Program Reporting: (Type in the exact spelling of the appropriate entry from table below)	
	Telephone number:	
Name of person(s) & IR Teams completing tables:	Name #1:	
	SO Team Name and number1	
	Name #2:	
	SO Team Name and number2	
	Name #3:	
Contact	SO Team Name and number3	
	Address (1):	
	Address (2):	
	Street:	
	City, Address Codes:	
	Telephone number:	
	Fax number:	
	Email address:	
	Other relevant information:	

### Country / Region / Office / Program Reference Table

AFR/SD – CARPE	G/ENV/UP	Mozambique
AFR/SD – FEWS	G/ENV/ENR	Nepal
Albania	G/ENV/GCC	Nicaragua
Armenia	G/ENV/UP	NIS Regional
Bangladesh	Georgia	Panama
Bolivia	Guatemala	Paraguay
Brazil	Guinea	Peru
Bulgaria	Honduras	Philippines
CEE Regional	India	Poland
Central America (G-CAP)	Indonesia	RCSA
Central Asia Republics	LAC/RSD	Romania
East Asia Environmental Initiative	Lithuania	Russia
Ecuador	Macedonia	South Africa
EGAD	Madagascar	South Asia Regional Initiative
Egypt	Malawi	Uganda
G/ENV/EET	Mali	Ukraine
G/ENV/ENR	Mexico	US-AEP
G/ENV/GCC	Moldova	



Please fill in the YELLOW cells to complete the table.

TABLE 1.1						
Result 1: Increased Participation in the UNFCCC						
Indicator 1: Policy Development Supporting the Framework Convention on Climate Change						
PLEASE SEE DEFINITIONS BELOW						
Policy Measure	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Implementation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CN/TN Number for Activity
Ex: Integration of climate change into national strategic, energy, and sustainable development strategies	1	1		Gov't-established interagency group has completed all necessary analysis and preparation to develop NEAP. The government has also signed Annex b of the FCCC.	3.2	CN-23-222
Integration of climate change into national strategic, energy, and sustainable development strategies						
Emissions inventory						
Mitigation analysis						
Vulnerability and adaptation analysis						
National Climate Change Action Plan						
Procedures for receiving, evaluating, and approving Activities Implemented Jointly (AIJ) proposals						
Procedures for monitoring and verifying greenhouse gas emissions						
Growth baselines for pegging greenhouse gas emissions to economic growth						
Legally binding emission reduction targets and timetables						
Other (describe)						
Other						
Other						
Other						
Other						
Sub-total (number of policy steps achieved):	0	0	0			
	TOTAL (number of policy steps achieved):					
			0			

Definitions: Policy Steps Achieved	
<b>Policy Measure</b>	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).
<b>Policy Preparation and Presentation (Step 1)</b>	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
<b>Policy Adoption (Step 2)</b>	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
<b>Policy Implementation and Enforcement (Step 3)</b>	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.
Definitions: Types of Activities	
<b>Adaptation</b>	Adjustments in practices, processes or structures of systems to projected or actual changes of climate (may be spontaneous or planned).
<b>Emissions inventory</b>	Detailed listing of GHG sources and sinks.
<b>Growth Baselines</b>	An approach that would link countries' emissions targets to improvements in energy efficiency.
<b>Joint Implementation (JI)</b>	The process by which industrialized countries can meet a portion of their emissions reduction obligations by receiving credits for investing in GHG reductions in developing countries.
<b>Mitigation</b>	An action that prevents or slows the increase of greenhouse gases (GHGs) by reducing emissions from sources and sinks.
<b>National Climate Change Action Plan</b>	Plans that delineate specific mitigation and adaptation measures that countries will implement and integrate into their ongoing programs. These plans form the basis for the national communications that countries submit to the UNFCCC Secretariat.

Please fill in the YELLOW cells to complete the table.

TABLE 1.2					
Result 1: Increased Participation in the UNFCCC					
Indicator 2: Increased capacity to meet requirements of the UNFCCC					
	Types of Support Provided (Enter the number of Training/TA activities for each category)				
Categories	Training	Technical Assistance	List the Activities that Contribute to Each Capacity Building Category	SO Number for Activity	CN/TN Number for Activity
Ex: Support for joint implementation activities	1	3	Provided training and assistance in the economic and financial evaluation of energy efficient projects for consideration in JI activities.	2.4	CN-23-222
Monitoring and verifying GHG emissions					
Growth baselines for pegging GHG emissions to economic growth					
Development of emissions reduction targets and timetables					
Support for joint implementation activities					
Support for Vulnerability and Adaptaion Activities					
Other (describe)					
Other					
Other					
Other					
Other					
Total number of points for Training/Technical Assistance:	0	0			

TABLE 2.1
-----------

**Indicator 1: Area where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss**

**Indicator 2: Area where USAID has achieved on-the-ground impacts to preserve, increase, or reduce the rate of loss of carbon stocks**

**PLEASE SEE DEFINITIONS BELOW**

[illegible]

[illegible]

Codes for Land Use and Forestry Sector									
Principal Activities:		Predominant Vegetation Type:				Predominant Managed Land Type:		Codes for Additional Information:	
	1 Conservation of natural ecosystems (may include protected area management, extraction of non-timber products, etc. but <i>not</i> timber harvesting.)	A	Tropical evergreen forest	H	Tropical grassland and pasture	1	<b>Agricultural systems:</b> Less than 15% of the area under trees	1	Maps
	2 Sustainable forest management for timber using reduced-impact harvesting (non-timber forest products may also be harvested)	B	Tropical seasonal forest	I	Temperate grassland and pasture	2	<b>Agroforestry systems:</b> Greater than 15% of the area under trees	2	Geo-referenced site coordinates
	3 Afforestation/reforestation/plantation forests	C	Temperate evergreen forest	J	Tundra and alpine meadow	3	<b>Plantation Forests:</b> At least 80% of the area under planted trees	3	Biomass inventory
	4 Agroforestry	D	Temperate deciduous forest	K	Desert scrub	4	<b>Protected areas</b>	4	Rainfall data
	5 Sustainable agriculture	E	Boreal forest	L	Swamp and marsh				5 Soil type data
		F	Temperate woodland	M	Coastal mangrove				
		G	Tropical open forest / woodland	N	Wetlands				

Definitions: Natural Ecosystems	
<b>Natural Ecosystems</b>	Any areas that have not experienced serious degradation or exploitation of biomass, and without significant harvest of biomass. This includes protected areas, areas used for the extraction of non-timber forest products, and community-managed forests with minimal timber extraction. Areas where non-timber forest products are harvested can be counted in this category but not those that are managed for timber. The latter are included in 2b below. The distinction is important as different approaches are employed in estimating carbon for "natural areas" (2a) and "managed areas" (2b). Natural areas include: (1) protected areas; (2) areas where non-timber forest products are extracted if significant biomass is not removed (often managed as community-based forest management areas); and (3) any other areas which exclude larger-scale biomass harvest from a management regime including many areas managed by communities and/or indigenous groups.
Definitions: Managed Lands Categories	
<b>Sustainable Forest Management for Timber, using Reduced Impact Harvesting (RIH)</b>	<p>A timber management activity will be considered to have a positive impact on carbon (relative to conventional methods) if it employs RIH practices and/or other key criteria. RIH is a package of practices proven to minimize environmental damage and carbon emissions during the logging of natural tropical forest. To be included, an activity must include most of the following practices:</p> <ul style="list-style-type: none"> <li>- tree inventorying, marking and mapping;</li> <li>- careful planning and marking of skidder trails;</li> <li>- vine cutting prior to harvest, where appropriate;</li> <li>- directional felling of trees;</li> <li>- appropriate skidding techniques that employ winching and best available equipment (rubber tired skidder/animal traction) to minimize soil</li> <li>- proper road and log deck construction;</li> <li>- a trained work force and implementation of proper safety practices;</li> <li>- fire mitigation techniques (fire breaks);</li> <li>- existence of a long-term management plan.</li> </ul> <p>Report on the area where government, industry or community organizations are carrying out forest management for commercial timber using the techniques above, or forest management areas that have been "certified" as environmentally sound by a recognized independent party. Only the area where sound planning and harvesting is being currently practiced should be included (not the whole concession or forest).</p>
<b>Agroforestry</b>	Agroforestry covers a wide variety of land-use systems combining tree, crop and/or animals on the same land. Two characteristics distinguish agroforestry from other land uses: 1) it involves the deliberate growing of woody perennial on the same unit of land as agricultural crops and/or animals either spatially or sequentially, and 2) there is significant interaction between woody and non-woody components, either ecological or economical. To be counted, at least 15 percent of the system must be trees or woody perennials grown for a specific function (shade, fuel, fodder, windbreak). -- Include the area of land under an agroforestry system in which a positive carbon benefit is apparent (i.e., through the increase in biomass, litter or soil organic matter). Do not include agroforestry systems being established on forestlands that were deforested since 1990.
<b>Reforestation/ Afforestation</b>	The act of planting trees on deforested or degraded land previously under forest (reforestation) or on land that has not previously been under forest according to historical records (afforestation). This would include reforestation on slopes for watershed protection; mangrove reforestation or reforestation to protect coastal areas; commercial plantations and community tree planting on a significant scale, and/or the introduction of trees in non-forested areas for ecological or economic purposes. -- Include the area under reforestation or afforestation (i.e., plantation forests and/or community woodlots). Do not include natural forested areas that have been recently deforested for the purpose of planting trees. Do not include tree planting in agroforestry systems (include this under agroforestry).
<b>Sustainable Agriculture</b>	<p>Agricultural systems that increase or maintain carbon in their soil and biomass through time by employing certain proven cultural practices known</p> <ul style="list-style-type: none"> <li>- no-tillage or reduced tillage</li> <li>- erosion control/soil conservation techniques, especially on hillsides</li> <li>- perennial crops in the system</li> <li>- higher crop yields through better nitrogen and soil management</li> <li>- long-term rotations with legumes</li> <li>- the use of organic mulches, crop residues and other organic inputs into the soil</li> <li>- better management of agrochemicals, by stressing careful fertilizer management that will increase yields while minimizing the use of petro-based</li> </ul>
Special Instructions: Creating a Copy of this Spreadsheet	
<b>Step 1</b>	Finish filling any cells you are working on and hit " <b>Return</b> " or " <b>Enter</b> ".
<b>Step 2</b>	Click on " <b>Edit</b> " in the menu bar, above. Go down and click on " <b>Move or Copy Sheet</b> ". The "Move or Copy" dialog box will open. (NOTE: You may also open this dialog box by using the right button on your mouse to click on the "T4-2.1 Land Use" tab near the bottom of the screen.)
<b>Step 3</b>	Next, scroll down in the dialog box and click on " <b>T2.1 Land Use</b> ".
<b>Step 4</b>	Next, click on the <b>box</b> at bottom to <b>Create a copy</b> .
<b>Step 5</b>	Hit " <b>OK</b> ". A new copy of T2.1 Land Use will appear in the row of tabs near the bottom of the screen. PLEASE NOTE: Some cells may not retain all the original text when the sheet is copied, especially in the definitions sections.

Please fill in the YELLOW cells to complete the table.

TABLE 2.3							
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector							
Indicator 3: National/sub-national policy advances in the land use/forestry sector that contribute to the preservation or increase of carbon stocks and sinks, and to the avoidance of greenhouse gas emissions							
PLEASE SEE DEFINITIONS BELOW		Enter the number of separate steps for each measure					
Policy Measure	Scope (N or S)	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Implementation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CN/TN Number for Activity
Ex: Facilitates establishment and conservation of protected areas	N	2	1		Two studies completed on national protected areas law for the Environment Min., including recommendations for legal reform; revised National Protected Areas Law adopted, Min. Decree No. 1999/304.	3.1	TN-556-27
Facilitates improved land use planning							
Facilitates sustainable forest management							
Facilitates establishment and conservation of protected areas							
Improves integrated coastal management							
Decreases agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management							
Corrects protective trade policies that devalue forest resources							
Clarifies and improves land and resource tenure							
Other (describe)							
Other							
Other							
Other							
Other							
Sub-total(number of policy steps achieved)		0	0	0			
Total (number of policy steps achieved):				0			



Definitions: Scope	
National Policies (N)	Policies that influence issues on a countrywide level.
Sub-national Policies (S)	Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact.
Definitions: Policy Steps Achieved	
Policy Measure	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or
Policy Preparation and Presentation (Step 1)	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
Policy Adoption (Step 2)	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on a law; the issuance of a decree, etc.
Policy Implementation and Enforcement (Step 3)	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.

Please fill in the YELLOW cells to complete the table.

TABLE 2.4

Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector

Indicator 4: Value of Public and Private Investment Leveraged by USAID for Activities that Contribute to the Preservation or Increase of Carbon Stocks and Reduction of Greenhouse Gas Emissions

PLEASE SEE DEFINITIONS BELOW

Activity	Source of Leveraged Funds	Methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
National Nature Conservation Fund	National Government	Figure reflects direct, in-kind contribution of national government.	\$572,800		3.3	TN-556-27
Big Forest Climate Change Action Project	The Nature Conservancy and the Friends of Nature Foundation	NGOs initiated independent activity with separate funding, building on earlier USAID conservation project.		\$1,700,000	3.3	CN-23-222
Total:			\$0	\$0		

Definitions: Funding Leveraged

Direct Leveraged Funding

Funding leveraged directly in support of current USAID activities and programs, including:

- funding leveraged from partners for joint USAID activities;
- funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated);
- obligated or committed funding for direct follow-on MDB loan programs (prorated);
- obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated);
- joint implementation investments;
- Development Credit Authority investments.

Indirect Leveraged Funding

Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

*Please fill in the YELLOW cells to complete the table.*

TABLE 2.5a				
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector				
Indicator 5a: Increased Capacity to Address Global Climate Change Issues				
Types of institutions strengthened to address GCC issues	Number of Institutions Strengthened	Names of Associations, NGOs, or other Institutions Strengthened	SO Number for Activity	CN/TN Number for Activity
Ex: NGOs	3	Friends of Nature Foundation, SITA, Sustainable Forests Unlimited	3.2	CN-23-222
NGOs				
Private Institutions				
Research / Educational Institutions				
Public Institutions				
Total Number of Institutions Strengthened:	0			

Please fill in the YELLOW cells to complete the table.

Table 2.5b					
Result 2: Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector					
Indicator 5b: Technical Capacity Strengthened through Workshops, Research, and/or Training Activities					
	Types of Support Provided (Enter the number of Training/TA activities for each category)				
Category	Training	Technical Assistance	List the Activities that Contribute to Each Capacity Building Category	SO Number for Activity	CN/TN Number for Activity
Ex: Advancing sustainable forest management	1	3	Presentation of nursery & reforestation studies; US training on resource mgmt; env'l impact assessment law training; forest restoration & recovery workshop. TA for fire prevention.	3.3	CN-23-222
Advancing improved land use planning					
Advancing sustainable forest management					
Advancing establishment and conservation of protected areas					
Advancing integrated coastal management					
Advancing decreases in agricultural subsidies or other perverse fiscal incentives that hinder sustainable forest management					
Advancing the correction of protective trade policies that devalue forest resources					
Advancing the clarification and improvement of land and resource tenure					
Other (describe)					
Other					
Other					
Other					
Other					
Number of categories where training and technical assistance has been provided:	0	0			

*Please fill in the YELLOW cells to complete the table.*

TABLE 3.1

### Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

**Indicator 1: Emissions of Carbon Dioxide Equivalents Avoided, due to USAID Assistance (Measuring Carbon Dioxide, Methane, and Nitrous Oxide)**

**PLEASE SEE FUEL TYPE CODES  
BELOW**

PLEASE SEE FUEL TYPE CODES BELOW	3.1 A - CO2 Emissions avoided through renewable energy activities			3.1 B - CO2 emissions avoided through end use energy efficiency improvements			3.1 C - CO2 emissions avoided through energy efficiency improvements in generation, transmission, and distribution (including new production capacity)				
Activity	3.1A: MW-h produced in electricity generation	3.1A: BTU's produced in thermal combustion	3.1A: Fuel type replaced (use codes)	3.1B: MW-h saved	3.1B: BTU's saved in thermal combustion	3.1B: Fuel type saved (use codes)	3.1C:MW-h saved	3.1C: BTU's saved in thermal combustion	3.1C: Fuel type saved (use codes)		
Renewable Energy Production Prog.	512,258		J							2.1	CN-120-97
Steam & Combustion Efficiency Pilot Proj.					1,832,144	J				2.1	CN-120-97
Power Sector Retrofits							912,733		T	2.1	CN-120-97
										</	

**PLEASE SEE FUEL TYPE CODES  
BELOW**

PLEASE SEE FUEL TYPE CODES BELOW								
	3.1 D - CO <sub>2</sub> emissions avoided as a result of switching to cleaner fossil fuels (including new production capacity)				3.1 E - Methane emissions captured from solid waste, coal mining, or sewage treatment	3.1 F - Tonnes of nitrous oxide emissions avoided through improved agriculture		
Activity	3.1D: MW-h produced in electricity generation	3.1D BTUs produced in thermal combustion	3.1D Old fuel type (use codes)	3.1D New fuel type (use codes)	3.1E: Tonnes of methane	3.1F: Tonnes of nitrous oxide	SO number for Activity	CN/TN Number for Activity
Clean Fuels Program	4,551		H	FF			2	CN-120-97
Municipal Landfill Proj.					450		2	CN-120-97
Sust. Ag. & Devt. Proj.						575	2	CN-120-97
Totals:	0	0			0	0		

Codes for Fuel Type			
Fuel Types		Code	Fuel Name
Liquid Fossil	Primary Fuels	A	Crude oil
		B	Orimulsion
		C	Natural gas liquid
	Secondary Fuels	D	Gasoline
		E	Jet kerosene
		F	Other kerosene
		G	Shale oil
		H	Gas/diesel oil
		J	Residual fuel oil
		K	LPG
		L	Ethane
		M	Naphtha
		N	Bitumen
		O	Lubricants
		P	Petroleum coke
		Q	Refinery feedstocks
		R	Refinery gas
		S	Other oil
Solid Fossil	Primary Fuels	T	Anthracite (coal)
		U	Coking coal
		V	Other bituminous coal
		W	Sub-bituminous coal
		X	Lignite
		Y	Oil shale
		Z	Peat
	Secondary fuels/ products	AA	BKB & patent fuecla
		BB	Coke oven/gas coke
		CC	Coke oven gas
Gaseous Fossil		DD	Blast furnace gas
		EE	Natural gas (dry)
Biomass		FF	Solid biomass
		GG	Liquid biomass
		HH	Gas biomass

Please fill in the YELLOW cells to complete the table.

TABLE 3.3

Result 3: Decreased Net Greenhouse Gas Emissions from the Energy Sector, Industry, and Urban Areas

Indicator 3: National/sub-national policy advances in the energy sector, industry and urban areas that contribute to the avoidance of greenhouse gas emissions

PLEASE SEE DEFINITIONS BELOW

Policy Measure	Scope (N or S)	STEP 1: Policy Preparation and Presentation	STEP 2: Policy Adoption	STEP 3: Implementation and Enforcement	List Activities Contributing to Each Policy Category	SO Number for Activity	CN/TN Number for Activity
Example: Facilitates improved demand side management or integrated resource planning	N	2	1		Mission supported introduction of two decrees for energy tariff reforms (pursuant to National Energy Reform Law) in the national parliament; one decree was adopted.	2.4	CN-577-92
Facilitates improved demand side management or integrated resource planning							
Facilitates competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers							
Facilitates the installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes							
Facilitates the use of renewable energy technologies							
Facilitates the use of cleaner fossil fuels (cleaner coal or natural gas)							
Facilitates the introduction of cleaner modes of transportation and efficient transportation systems							
Promotes the use of cogeneration							
Other (describe)							
Other							
Other							
Other							
Other							
Sub-total (number of policy steps achieved):		0	0	0			
Total (number of policy steps achieved):				0			

Definitions: Scope	
National Policies (N)	Policies that influence issues on a countrywide level.
Sub-national Policies (S)	Policies that affect a tribal nation, province, state or region that are neither national nor site specific in impact.
Definitions: Policy Steps Achieved	
Policy Measures	"Policy measures" may include documentation demonstrating a legal, regulatory, or other governmental commitment to a defined course of action. Thus, for example, "policy measures" would include: a national, state, provincial, or local law; a regulation or decree; guidance issued by an agency, ministry, or sub-national body; a land use plan; a National Environmental Action Plan; a Climate Change Action Plan; or a National Communication to the IPCC. The term "policy measures" does not include technical documentation, such as technical reports or land use maps, nor site-specific activities reported under Indicators 1 and 2 (e.g., legal demarcation of individual site or granting of community access to single location).
Policy Preparation and Presentation (Step 1)	Draft bill, policy or regulation, vetted through relevant stakeholders in government, non-government, the private sector and civil society, and introduced for debate in appropriate legislative, regulatory, or governmental body.
Policy Adoption (Step 2)	Policy intervention is approved and adopted by the appropriate administrative agency or legislative body. Can take the form of the voting on law; the issuance of a decree, etc.
Policy Implementation and Enforcement (Step 3)	Actions that put the policy interventions into effect, such as agency personnel trained in procedures, appropriate institutions created or strengthened, or legislation implemented through the appropriate government agency.



Please fill in the YELLOW cells to complete the table.

Table 3.4				
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas				
Indicator 4: Strategies/Audits that Contribute to the Avoidance of Greenhouse Gas Emissions				
Activity	Number of audits or strategies completed	Number or audit recommendations or strategies implemented	SO Number for Activity	CN/TN Number for Activity
Steam & Combustion Efficiency Pilot Project	41	35	2.1	CN-577-92
Total:	0	0		

Please fill in the YELLOW cells to complete the table.

TABLE 3.5						
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas						
Indicator 5: Value of Public and Private Investment Leveraged by USAID for Activities that Reduce Greenhouse Gas Emissions						
PLEASE SEE DEFINITIONS BELOW						
Activity	Source of Leveraged Funds	Methodology for determining amount of funding	Direct Leveraged Funds	Indirect Leveraged Funds	SO Number for Activity	CN/TN Number for Activity
National Renewable Energy Program	Dept. of Energy, World Bank-GEF	DOE direct buy-in to USAID. In FY99, GEF funded replication of NREP activity begun in FY98.	\$120,000	\$2,500,000	2	CN-577-92
Total:			\$0	\$0		

Definitions: Funding Leveraged	
<b>Direct Leveraged Funding</b>	Funding leveraged directly in support of USAID activities and programs, including: <ul style="list-style-type: none"> <li>- funding leveraged from partners for joint USAID activities;</li> <li>- funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated);</li> <li>- obligated or committed funding for direct follow-on MDB loan programs (prorated);</li> <li>- obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated);</li> <li>- joint implementation investments;</li> <li>- Development Credit Authority investments.</li> </ul>
<b>Indirect Leveraged Funding</b>	Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

*Please fill in the YELLOW cells to complete the table.*

**TABLE 3.6a**

**Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas**

**Indicator 6a: Increased Capacity to Address Global Climate Change Issues**

Types of institutions strengthened to address GCC issues	Number of Institutions Strength-ened	Names of Associations, NGOs, or other Institutions Strengthened	SO Number for Activity	CN/TN Number for Activity
Ex: NGOs	3	Center for Cleaner Production, Association of Industrial Engineers, National Solar Energy Foundation, Clean Air Alliance, Institute for Industrial Efficiency	2.4	CN-577-92
NGOs				
Private Institutions				
Research/Educational Institutions				
Public Institutions				
Total Number of Institutions Strengthened:	0			

Please fill in the YELLOW cells to complete the table.

Table 3.6b					
Result 3: Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas					
Indicator 6b: Technical Capacity Strengthened through Workshops, Research, and/or Training Activities					
	Types of Support Provided (Enter the number of Training/TA activities for each category)				
Category	Training	Technical Assistance	List the Activities that Contribute to Each Capacity Building Category	SO Number for Activity	CN/TN Number for Activity
Example: Use of renewable energy technologies	1	3	Developed sustainable markets for renewable energy technologies. Over 200 renewable energy systems installed. Training for utilities, government officials, NGOs. Study on renewable energy applications	2.4	CN-577-92
Improved demand-side management or integrated resource planning					
Competitive energy markets that promote market-based energy prices, decrease fossil fuel subsidies, or allow open access to independent providers					
Installation of energy efficient or other greenhouse gas reducing technologies, including improved efficiencies in industrial processes					
Use of renewable energy technologies					
Use of cleaner fossil fuels (cleaner coal or natural gas)					
Introduction of cleaner modes of transportation and efficient transportation systems					
Use of cogeneration					
Other (describe)					
Other					
Other					
Other					
Other					
Total number of points for Training/Technical Assistance	0	0			

Please fill in the YELLOW cells to complete the table.

Table 4								
Result 4: Reduced Vulnerability to the Threats Posed by Climate Change								
Indicator: USAID Programs that Reduce Vulnerability to Climate Change								
PLEASE SEE DEFINITIONS BELOW								
Key Area	Country	Budget	Duration	Type of Program (see codes below)	Description	SO Name	SO Number for Activity	CN/TN Number for Activity
Example:	ii South Africa	\$1,200,000	FY96-FY99	3	Technical assistance to Rand Water Board to address water resources planning for water shortages	Increased Access to Environmentally Sustainable Housing and Urban Services for the HDP	SO6	

Definitions: Key Areas	
Coastal Zones	Number of programs that are reducing the vulnerability of coastal populations, infrastructure, habitats and living resources to accelerated sea level rise or other environmental changes associated with climate change (e.g., water availability, resource availability, temperature).
Emergency Preparedness	Number of programs that are increasing ability to cope with and minimize the damage from natural disasters (e.g., drought, famine, disease outbreaks) through surveillance, early warning, emergency preparedness, capacity building, etc.
Agriculture and Food Security	Number of programs that are increasing adaptability and resilience of agriculture and food systems to changes in temperature, water availability, pest and pathogen presence or prevalence, soil moisture and other changes in environmental parameters (e.g., crop diversification, water conservation and delivery, flexible market and trade systems).
Biodiversity/Natural Resources	Number of programs that are increasing the adaptability of natural ecosystems and levels of biodiversity to changes in temperature, water availability, pest and pathogen presence or prevalence, soil moisture and other changes in environmental parameters (e.g., establishment of biological corridors, habitat conservation, preservation of ex situ germplasm).
Human Health and Nutrition	Number of programs that are reducing vulnerability to climate change through improved access to and quality of health services, vector control, nutrition and environmental health interventions.

	Key Area Codes	Codes for Type of Programs
Coastal Zones	i	1. Urban/Infrastructure
		2. Natural Resource
Emergency Preparedness	ii	1. Early Warning System
		2. Humanitarian Response
		3. Capacity Building
Agriculture & Food Security	iii	1. Research and Development
		2. Policy Reform
		3. Extension/ Demonstration
Biodiversity/Natural Resources	iv	1. Preservation of Biodiversity
		2. Forest Conservation
Human Health and Nutrition	v	1. Improved Quality of Health Services
		2. Vector Control
		3. Improved Nutrition

**Information Annex Topic: Greater Horn of Africa Initiative**

Not applicable to USAID/Mongolia.

**Information Annex Topic: Non-presence Countries (npcs)**

Not applicable to USAID/Mongolia.



### **Information Annex Topic: Success Stories**

The following are success stories from USAID/Mongolia's Rural Development Program implemented by Mercy Corps International and ACDI/VOCA.

**Market Watch.** At the beginning of 1999, there was a complete absence of timely and accurate market price information in rural Mongolia. There was a demand for such information from rural herders and urban businesses, but at the time no one was willing to pay for it. With funding from USAID, The Gobi Regional Economic Growth Initiative established a rural network of market watchers in seven Gobi provinces in southern Mongolia, as well as at markets in the capital city Ulaanbaatar and at two border points with China.

Market Watch staff began collecting, disseminating, and analyzing updated price information for more than 30 key commodities gathered from these market locations. Commodities ranged from matches to mutton to raw cashmere. Price information is collected twice weekly, and is based on exact commodity specifications as well as on collecting information on consistent days and times and from consistent sellers.

Within weeks of broadcasting price information for key commodities such as cashmere, meat, and animal skins via national radio, feedback began pouring into the Gobi Initiative that listeners, especially herders, think Market Watch is extremely important. They told stories of increasing their business profits three-fold and repeatedly expressed gratitude for providing them with a tool with which they could finally make competitive economic business decisions that resulted in improved livelihoods for their families.

Realizing the demand and economic value of Market Watch information for herders, and suspecting that such demand could be turned into revenues and profits, the Gobi Initiative solicited proposals from private entities interested in acquiring the Market Watch activity.

A proposal from Economic and Legal Consultancy (ELC) was accepted by Gobi Initiative and in October, 2000 the first phase of a transfer of day-to-day operations of the Market Watch activities from the Gobi Initiative to ELC was completed. During a six-month trial contract, ELC demonstrated its capability to carry out the Market Watch activities with the same high level of professionalism established by the Gobi Initiative staff.

Meanwhile, the Gobi Initiative's *Gobi Business News*' wildly popular Market Watch radio program and magazine column had become known by nearly 100% of the people across the Gobi region, and by at least 35% of the remaining Mongolian population. Many herders tell visitors how they save their precious radio batteries for listening to the twice-weekly Market Watch broadcasts. Listeners of *Gobi Business News*' Market Watch program now know how, when, and where to market their products for the highest possible prices. The catalyst for this change was Market Watch, and the result has been steady and increasing demand among rural and urban entrepreneurs and enterprises for Market Watch to continue, and to grow.

Specifically, ELC has proven within only seven months of operating that it can not only turn watching the market into profits, but it can sell additional products to a variety of clients. Today there are potential clients willing and able to pay for concise, trusted, and accurate market information and analysis products and services.

ELC's own market research resulted in identifying nearly 10 potential clients across three sectors —foreign donors, medium and large companies, and financial institutions—ready to pay. Some of the strongest market interest has come from Mongolian and international credit institutions. These firms want to increase their number of loans to clients. They want to contract ELC to provide unbiased, reliable market price information that can be used to value collateral and assess potential clients' business plans.

ELC now markets three core products and three secondary products. Core products include priority instant messaging, for clients who need timely information; in-depth market analysis reports and research; and commodity analysis presentations. Secondary products include commodity newsletters, surveys, and a website.

The Gobi Initiative remains a client of ELC's, but not the only one. ELC continues to produce and market Market Watch, but as a result of targeted skills training and one-on-one consulting provided by the Gobi Initiative, this firm is well on its way to being Mongolia's leader in market information collection and analysis.

**Gobi Wave Radio.** On February 1, 2001, Ms. Naranchimeg, or Nara, woke up early because she was nervous. She went to her office dressed in her nicest clothes and made sure everything was ready for the big event. An hour later her staff of three paid employees and five youth interns came to the office, also looking nice.

Mid-morning Nara and her staff were milling around outside their office building, handing out brochures to the large crowd of government officials, business owners, students, teachers, and interested passers by. On the outside of the handsome brochures was printed "Grand Opening of Gobi Wave's New FM Station."

On the inside was a mission statement for the independent NGO known as the Gobi Wave Information Center. There were the names of its board of directors. There was a description of the content and broadcast times for its news and informational programming delivered regionally via a longwave (LW) signal and locally via FM. There was a breakdown of what percentage of its regional and local broadcasts are news, information and talk, distance learning, advertisements, and music. There was a list of its various classified, advertisement, and paid program rates. And at the end was an excerpt from Mongolia's 1998 Free Press and Media Law: "*The state may no longer control or finance media entities.*"

Exactly two years earlier, on February 1, 1999, Nara was pacing the floor in her office because she was nervous. Then a reporter for the Umnugovi province government's media center, Nara and her three colleagues knew that the new Press Law was as scary as it was liberating. Editorially, she and her colleagues were now ostensibly free to write

and broadcast what they thought was fair, balanced, and ethical. But financially, they felt orphaned. For seventy years, Mongolia's socialist government had controlled all media and had prohibited any private sales or advertising revenues. As a result, people like Nara were thoroughly unequipped to operate an independent media entity, although the new law required it.

Later that month, Nara and her colleagues approached the local representative office of the Gobi Initiative, a new rural-development project funded by USAID. They sought input and advice on how they could continue doing what they were skilled at and enjoyed, but in an independent, free market manner. Over the following months, the Gobi Initiative played three mutually reinforcing roles in providing Nara and her colleagues with assistance: as skills trainer, as advocate, and as paying customer.

The Gobi Initiative trained Umnugovi media center staff in business planning, marketing, financial management, journalism and economic journalism, and technical radio production skills. Based on a new business and marketing plan, the staff decided in early 2000 to officially register with the Ministry of Justice as an independent media NGO, to eliminate its newspaper productions, to increase its amount of regional broadcast time, to acquire its own office building and its own FM studio, and to generate at least 75 percent of all operating expenses independent of the state. They planned to accomplish these goals by the end of the year.

The Gobi Initiative assisted the new NGO, Gobi Wave, in successfully lobbying the local government for private office space, crafting a successful proposal to the Soros Foundation for a new FM station, and designing and delivering marketing materials that resulted in securing 100 percent of their operating costs. The Gobi Initiative also paid Gobi Wave to air its own Market Watch, Weather, Watch, Policy Watch, and Animal Husbandry Management programs.

In the summer of 2000 the Umnugovi province government announced it would privatize the former media center, and promptly shut down Gobi Wave's radio signal. This confused Gobi Wave and angered rural listeners, who lobbied the governor so effectively that the privatization scheme was abandoned and the radio broadcasts reinstated within a month.

In the autumn of 2000 Gobi Wave launched its own website and partnered with a local Internet center and a capital city-based online magazine enterprise to share informational and technical resources. As a result of the partnership, Gobi Wave's revenues grew as did its exposure and market brand loyalty.

By January 1, 2001, Gobi Wave acquired its own office space. It now owns a state-of-the-art FM station that broadcasts to a 60 kilometer radius and reaches more than 17,000 listeners 12 hours a day, including tourists staying at Umnugovi province's four popular camps. It has increased its regional broadcast time by 60 percent and now airs news and informational programming—including the Gobi Initiative's popular *Gobi Business News*

Market Watch program—five days a week to more than 250,000 rural listeners in parts of five southern Gobi region provinces.

The Grand Opening for Gobi Wave's FM station is now history, and Nara and her skilled and confident staff are busy planning membership drives, special tourist programs in English and Japanese and accompanying fundraising events, and on-site live broadcasts of cultural, commercial and sport events thanks to a remote transmitter donated by a Gobi Initiative consultant. With Gobi Initiative mentoring, Gobi Wave also started a Rural Independent Radio Association, which is currently crafting bylaws for its five members.

Gobi Wave is Mongolia's first rural regional media entity to register as an independent legal entity and to break even financially. It is a model for other regional and FM radio enterprises as well as for print and TV media. And though located in Mongolia's largest, least populated, and most remote of regions, Nara and her Gobi Wave colleagues prove that vision, commitment, and persistence can lead to success in a market economy.

**Mongolian Meat Inspection Regulations and Agency.** Mongolia will soon upgrade its national meat inspection program through the formation of the Food Safety and Agricultural Inspection Agency of the Ministry of Food and Agriculture and the revising and improvement of the Mongolian Meat Inspection Regulations. These changes were the direct result of the efforts of USAID and the ACIDI/VOCA "Farmer to Farmer" project in Mongolia.

After over a year of technical assistance in the Mongolian meat sector and discussions with the Mongolian Ministry of Food and Agriculture, the ACIDI/VOCA "Farmer to Farmer" project was asked to assist the Ministry with the structural and legal changes necessary to move toward its goal of exporting more Mongolian meat to new markets at competitive prices. ACIDI/VOCA "Farmer to Farmer" was able to recruit veterinary consultant, Dr. Elizabeth Callanta, Supervising Meat Control Officer, Head, Meat Science and Technology Division of the National Meat Inspection Commission of the Philippines. Dr. Callanta worked with a team of experts from the Ministry of Food and Agriculture and ACIDI/VOCA revising the existing General Meat Inspection Regulations and advising on the formation of an agency that could oversee meat inspection in Mongolia.

The importance of the establishment of the Food Safety and Agricultural Inspection Agency and the improvement of the Meat Inspection Regulations should not be underestimated. Experiences from more developed countries have shown that food control, instead of being a restrictive activity can be a very strong development tool. The new agency and the regulations it has produced will not only protect the consumer but also improve the food distribution system, promote the food industry and last but not the least, provide a very strong incentive for the promotion of a food export trade.

Work begun by the ACIDI/VOCA Veterinary Meat Inspection project has led to the passing of new meat inspection legislation and the drafting of meat export plant accreditation criteria as well as the approval of new certificates for animal health, meat

inspection and raw materials of animal origin. This internationally recognized system for meat inspection, raw materials certification and meat plant sanitation will undoubtedly improve Mongolia's competitiveness in the international meat sector.

USAID and ACDI/VOCA's support of the industry will continue in the form of a national meat inspection training program complete with training materials for 8 modules, international trainers and hands on experience. Mongolian meat inspectors will be trained in an intensive 5-week course on the techniques of veterinary meat inspection. This course will become the standard to which future Mongolian meat inspectors are trained and in the future will be conducted by the newly formed Food Safety and Agricultural Inspection Agency of the Ministry of Food and Agriculture.

**Supplemental Winter Fodder for Cashmere Goats.** In the winter of 2000, approximately 3 million animals died of starvation caused by a natural disaster called "dzud" (heavy snow that came early covering the pasture and did not melt until spring). Nationally the number of surviving newborn animals dropped by one million over last year's rate. However in two soums where ACDI/VOCA has been training small groups of herders the survivability of newborn goats doubled over last year's rate.

ACDI/VOCA's Cashmere Breed Improvement Component started in Bayanhongor aimag in April 1999. It aims to establish superior quality white, red, and black cashmere breeding stock in Shine Jinst, Bombogor, and Buutsagaan soums by assisting superior breeding buck herders and manager-trainers who work with those herders. This assistance includes training, arranging for purchase, delivery, and distribution of winter fodder that was sold to the herders at half price during the first year of the project. Additional training covers genetic and financial record keeping with record books that are supplied by the project; marketing support and organizational assistance. Eighty-seven herders in Bombogor, Buutsagaan and Shine Jinst of Bayanhongor, with more than 6,200 breeding goats are already participating in the Cashmere Breed Improvement Project.

The major source of feed for Mongolia's 33.1 million head of livestock is open pasture/rangeland. This makes herders and their livestock very susceptible to failure under dzud conditions and other natural calamities. One way to reduce the adverse impact of natural calamities is to feed the animals supplemental fodder during the critical times of the year - winter and spring.

In the spring of 1998, before the project started, 40% of the breeding bucks in one community of Bombogor soum and 70% of the breeding bucks in another community of Shine Jinst soum did not survive. The rearing rates for kids (baby goats) born that spring were 47% and 31% in Bombogor and Shine Jinst soums. Shine Jinst had a full year of drought in 1999 while the Bombogor pastures were covered by 30 cm of snow in late September. Both of these conditions represent a threat to livestock production. The usual results of both conditions are high rates of animal loss.

In order to reduce breeding and young animal loss and to be prepared for the harsh Mongolian winter climate, ACDI/VOCA initiated the establishment of a revolving fodder

fund to be owned by the cooperatives formed by the project herders. Twenty tons of wheat bran was purchased and transported each to Bombogor and Shine Jinst. Feeding rations for critical times of the year were developed for the breeding bucks, pregnant does, and newborn kids. As a result of this minimal amount of supplemental feeding, the survival rate of project herders' breeding bucks was 95.5% in Bombogor and 87.4% in Shine Jinst. The rearing rates of kids jumped to 81% in Bombogor and 75% in Shine Jinst. These results have provided a good incentive for project herders to continue the revolving fodder fund even when they will be responsible for the full cost of the feed and transport. This began in the winter of 2001. Neighboring commercial herders have already asked to be included in the fodder fund so that they, too, may ensure a better survival rate for their herds next year.

In December, the Gobi Initiative launched a program in each of the four aimags to develop a relationship between supply cooperatives and herder cooperatives. The Gobi Initiative purchased 100 metric tons of wheat bran to be used as goat feed and sold the product at cost to four cooperatives. The cooperatives in turn sold the product to selected customers, identified by the Gobi Initiative, who are participants in the Herder Management Program. The cooperatives are initiating subsequent direct sales programs to Herder Management Program participant herders.

**The Mongolian Private Veterinary Association.** The Mongolian Private Veterinary Association (MPVA) began as a small group of young, forward thinking veterinarians. The founding members of the MPVA realized that there was a need to organize and support private veterinarians in Mongolia as they transitioned from a centrally controlled and state subsidized system to that of a fee for service system based on private enterprise.

The MPVA came to the USAID funded ACDI/VOCA "Farmer to Farmer" project looking for technical support and a cooperating partner. The MPVA had vision but lacked the financial backing and the skills in grass roots level organization necessary to build their association and implement their programs.

The ACDI/VOCA "Farmer to Farmer" Veterinary Assistance project was able to take on the MPVA as a cooperating partner. Together the organizations conducting trainings in the rural areas, surveyed private veterinarians to determine their needs and engaged in discussions with Ministry of Food and Agriculture officials to determine and guide policy affecting Mongolia's newly privatized veterinarians.

In February of 2000, a "Farmer to Farmer" veterinary volunteer traveled to Mongolia to act as the personal consultant and advisor to the MPVA. ACDI/VOCA was able to recruit Dr. Joe Gloyd, a veterinarian with more than 20 years of experience working within the American Veterinary Medical Association (AVMA). In six weeks Dr. Gloyd had assisted the MPVA to draft a set of bylaws, write a 5-year strategic plan, organize three membership drives and begin to tackle a review of the veterinary legislation currently being revised by lawmakers.

It was important for the MPVA to have personal contact with a veterinarian that had first hand experience running a veterinary association. The concept that an association is only as strong as its members was a difficult one for the MPVA to accept but through working with Dr. Gloyd and hearing of the size and influence of the AVMA they realized the need to branch out, share responsibility, provide reliable and valuable services and grow in numbers.

In less than two years since the formation of the MPVA and its decision to work with the ACDI/VOCA “Farmer to Farmer” project, the association has grown from five founding individuals to 170 dues paying members. The MPVA’s name is recognized by most veterinarians around the country and they are slowly being accepted as a force to be taken seriously by government officials and other NGO’s and international organizations. In a country where member driven and supported associations are a new concept the growth of this association is an impressive accomplishment. They are not simply centered in Mongolia’s capital, Ulaanbaatar, but are spread across the country and have active members in half the soums or counties in Mongolia.

Much of the success of the MPVA can be attributed to strong, visionary leadership and an active and motivated veterinary community. Their credibility, however, has been greatly enhanced by their association with ACDI/VOCA’s “Farmer to Farmer” project as they have assisted with continuing education programs, the organization of national conferences and the establishment of a veterinary pharmaceutical and supply distribution network. The MPVA has recently taken over the veterinary pharmaceutical and supply distribution network that was started with an ACDI/VOCA investment of Title I wheat funds. The network will be managed by a committee of MPVA members. The network should provide MPVA members with much needed veterinary inputs at a reduced cost and provide the association with an ongoing project much valued by the veterinary community.

As always on the cutting edge of associations in Mongolia, the MPVA has launched a website designed to introduce itself and the Mongolian veterinary community to the world wide web. Their address is: [www.owc.org.mn/mpva](http://www.owc.org.mn/mpva).

**National Veterinary Conference Held in Ulaanbaatar.** The USAID funded ACDI/VOCA “Farmer to Farmer” project organized and supported a national veterinary conference that was held in Ulaanbaatar on February 16<sup>th</sup> and 17<sup>th</sup> 2001. The conference was titled “Veterinary Privatization in Mongolia” and was a unique opportunity for herders, private veterinarians, zoo-technicians, government officials, NGO’s, academics, researchers, state veterinarians and international organizations to come together to discuss the privatization of veterinary services in Mongolia. A series of presentations were followed by discussion sessions. The discussion session participants focused on the challenges facing the veterinary sector in its transition from a state subsidized to a fee for service system. The current legal framework of veterinary service provision, the state of veterinary pharmaceutical and supply distribution, and the needs within the educational system were discussed. In addition the challenges of private veterinarians in providing livestock health care to a herder population that often does not have the cash available to

pay for services, were addressed. The priority areas of action identified during this conference through the participation of government officials, private veterinarians, herders, academics and international organizations will be essential in guiding the veterinary sector in Mongolia closer to an efficient and effective system.

**Felt Craft Training.** In the spring of 1999 Ms. Byambaa, an unemployed Mongolian woman from the capital city Ulaanbaatar, walked into the offices of the new USAID-funded project, the Gobi Initiative. She knew this project aimed to work in areas of business and economic development, and though she had little money and no business plan per se, she walked in the door armed with confidence and a passion for producing felt crafts.

Ms. Oyundelger, a Gobi Initiative program assistant in the business development program, was intrigued by Byambaa's interest in selling her crafts. Together the two women drafted a proposal for conducting a felt craft workshop for rural women in Umnugovi, Mongolia's largest and least populated province located in the heart of the southern Gobi region. Being a native of Umnugovi herself, Oyundelger assisted Byambaa attract 10 local women and arranged to conduct the weeklong workshop at one of Umnugovi's tourist camps.

Byambaa agreed to reimburse the Gobi Initiative for all workshop costs. For five long days she taught her eager new students, and future partners, how to turn felt into boots, hats, camel-shaped toys, and coin purses. She taught them how to add colors, special designs, and produce varying sizes and shapes. None of the workshop participants had ever seen or heard of felt being used for anything other than wrapping their nomadic homes—round, white tents called *gers*—as insulation from Mongolia's fierce winds and bitter cold.

On the last day of the workshop the women advertised and held a felt craft exhibit in the Umnugovi province center. Without an existing market for such goods it was not only hard to price their products, but it was equally hard to convince potential buyers of the utility and quality of their wares. Nonetheless, the artisan businesswomen sold nearly all of the products they had made during the workshop for about \$350.00 (a significant amount of cash for people used to dealing primarily in barter trade and in a country where teachers make about \$60.00 a month). From this money, Byambaa repaid the Gobi Initiative \$325.00 for all workshop costs and split the rest among her new colleagues.

Byambaa returned to Ulaanbaatar and opened a small kiosk in the large State Department Store shopping center. Her unemployed husband manned the kiosk and sold her felt crafts. Two months later, the same 10 Umnugovi women contacted Byambaa and told her they had since formed their own cooperative, and wanted her to come back to conduct an advanced felt craft training for them. They paid her from the money they had earned from selling their products locally. After the training, Byambaa agreed to sell the cooperative's goods at her capital city kiosk and take a percentage of the sales.



Realizing that Byambaa was on her way to business success, the Gobi Initiative made an offer to loan her the money to travel to New York City in July of 2000 to participate in a Mongolia Festival. Oyundelger and other Gobi Initiative staff provided Byambaa with some marketing training and helped her pack her 150 pounds of felt and sent her on her first trip outside Mongolia. She spent time in New York before the festival studying other artisans' designs and techniques. She studied the market and learned what American and other international customers demand and expect.

At the festival Byambaa hosted a booth where she taught interested visitors how to make felt crafts and displayed her own. Two weeks later she returned to Mongolia with \$5,000.00 in her pocket from felt craft sales. She promptly repaid the Gobi Initiative \$3,000.00 and used the net \$2,000.00 profit to reinvest in her business in two key ways.

First, she grew her Ulaanbaatar retail operations, expanding her kiosk to a large room in the State Department Store. Second, she grew her rural network of felt craftswomen suppliers. As a result, she was able to attract and meet growing market demand from Mongolian and foreign customers.

Today Byambaa and her husband work full-time producing and marketing felt crafts made by Byambaa, her employees, and by her loyal, and profitable, network of felt craftswomen across the Gobi and elsewhere in rural Mongolia. She exports to customers in Japan and Germany, and is constantly improving her product quality and looking for new markets.

**Govin Ekhlel.** Through December 31, 2000, Goviin Ekhlel, GREGI's market-rate lending activity approved and disbursed 70 loans, with an average loan size of \$2,700, totaling more than \$191,000. All loans were performing in accordance with original contract terms that require monthly interest payments and, in most cases, monthly or other periodic principal reductions. The collection rate (amounts paid-to-amounts due) by year's end was 100 percent, with no defaults and no arrears.

**Gobi Business News Radio.** In Bayanhongor a herder was motivated to slaughter old, weak goats and go all the way to Ulaanbaatar after hearing and trusting the price news via *Gobi Business News Radio*. The herder earned \$547 after selling his goatskins at \$16 per piece in Ulaanbaatar. This demonstrates national impact insofar as Bayanhongor has not yet been one of the Gobi Initiative's program aimags.

**Business Plan Workshops.** Fifty percent of those trained in the Business Plan workshops applied for a loan from Goviin Ekhlel, (GREGI's market-rate lending arm) out of which 69 percent were approved and received loans for their businesses. Moreover, in Umnugovi, business plan training and one-on-one specialized training has yielded stronger, creditworthy businesses. Of the businesses that took advantage of these initiative training services and later applied for Goviin Ekhlel loans, 67 percent secured the credit they were seeking.

**Advanced Financial Management Workshop 1.** After attending GREGI's Advanced Financial Management workshop in Umnugovi, the owner of an auditing company has decided to expand his business. He is now the first and only enterprise offering financial management consulting services to the business community, a much needed and demanded service. Some participants have even made the decision to hire professional accountants as a result of understanding how important proper financial information is to the successful management of a business.

**Advanced Financial Management Workshop 2.** Two doctors from the Govi-Altai aimag center hospital had been thinking about leaving the public hospital to start their own medical services facility. However, they were reluctant to start a new business without being able to analyze the viability of such a venture. After taking our Advanced Financial Management workshop, these two entrepreneurs gained the knowledge and confidence to actually leave their secure positions at the state hospital and start the first and only competition. They soon opened a small hospital complete with 12 patient rooms, kitchen and pharmacy and have already begun serving clients.

**Advanced Financial Management Workshop 3.** More than 50 percent of the participants of our Advanced Financial Management workshops were accountants for medium-sized enterprises. After our first quarterly evaluation and monitoring of training results, we have learned that they all can now produce higher quality financial statements in a time efficient manner using the proper International Accounting Standards. In addition, at least 20 percent of them have even begun analyzing financial information in order to make recommendations to management concerning opportunities to increase profitability.

**Vocational Education Strategy Development.** Following the GREGI sponsored vocational education strategy session in September 2000, aimag participants from Dundgovi aggressively pursued their top priorities of creating a school-based enterprise and of establishing public-private partnerships. The school-based business is now producing uniforms and expects to sell and deliver the first batch of uniforms by year's end. In addition, the local vocational training and production center is offering job and training placements for students, informing the curriculum based on real local labor market needs, and allowing the company to select and hire the most highly skilled graduates.

**Tax Training.** Tax training in Govi-Altai resulted in an improved performance by tax inspectors according to the Head of the aimag Tax Department. In particular, better understanding of tax laws and how to confirm tax payments has enabled tax inspectors to address local businesses on a fairer and more equitable basis. Tax inspectors have spent less time concentrating on a limited few larger enterprises, and begun to tap a wider range of taxable entities to meet their liabilities.

**Cashmere Industry Competitiveness.** With GREGI assistance leaders of Mongolia's cashmere industry have stopped their advocacy of export barriers on the export of raw cashmere and are now focused on making the industry more competitive at the international level. Today, virtually all segments of the cashmere industry are more

focused on quality production of raw cashmere by breeding goats to produce better cashmere and developing additional value-added capacity in Mongolia. The latter involves attracting new investment and eliminating burdensome regulations that limit industry growth, and working cooperatively to develop new, reduced-cost ways of bringing the cashmere processors, as customers, together with cashmere producers, as market-oriented sellers.

## **Information Annex Topic: Supplemental Information**

### Provision of Caterpillar Generators to Rural Mongolia

In 1997-1998 USAID provided \$5.2 million for eighteen Caterpillar diesel generators to provincial centers in Umnugobi, Bayankhongor, Gobi-Altai, Zavkhan and Hovsgol. These generators replaced worn out Soviet and Czech generators and provided a source of reliable electric power to meet the needs of the provincial capitals. Today the generators provide 80% of the power generated in the centers. Power shortages have been reduced and consumer demand is being met.

USAID/Mongolia closely monitors the operation of generators. We make annual site visits to all power plants. A common issue has been irregular maintenance. This is due to financial and in Zavkhan to power plant management problems. At Zavkhan, only one out of four generators operates properly. One generator has suffered damage due to improper handling and two others work irregularly. At Bayankhongor, all four generators are working, but require major scheduled maintenance. Situation at Hovsgol and Gobi-Altai power plants is better. All generators are working and maintenance is behind schedule, but is being done. With the exception of Zavkhan the issue is financial. The power plants do not have the resources for maintenance and the energy authority is reluctant to provide the funding. The situation is complicated due to the fact that the new Energy Law requires reorganization of the how the generator sets are administered. The GOM is supposed to resolve this issue this year.

We have informed the Energy Authority regarding the condition of generators and requested that action be taken. We will continue with our communication until the problem is resolved.

### Vocational Center for Disadvantaged Mongolian Youth

In May 2000, USAID granted \$750,000 to the Catholic Church Mission in Mongolia to support construction and equipment of a vocational center. The vocational center will train disadvantaged Mongolian young people for viable careers in Mongolia. Training on carpentry, auto mechanics and sewing will be provided for young people for up to two years. The construction of the building was completed in late 2000. Total of \$299,000 out of grant has been spent for building fixtures. Remaining amount of the grant funding will be used to procure classroom and office equipment. The furnishing is expected to be completed by July. The Salesian fathers will provide the training. Chief of the Salesian fathers, Father Carlo arrived in early February and is working on training preparation. Four other fathers are expected to arrive in August. The actual training will start in September.

### Wind Energy Resources Atlas of Mongolia

In 1997, USAID entered into an inter-agency agreement with U.S. Department of Energy, National Renewable Energy Laboratory (NREL) to implement the Wind Energy

Resources Atlas of Mongolia Program. The objectives of the program were to: 1) develop detailed wind resource maps for all regions of Mongolia and produce a comprehensive wind resource atlas documenting the results; and 2) establish a wind monitoring program to identify prospective sites for wind energy projects and help validate the wind resource estimates.

The program commenced in October 1997 and was designed to run for 36 months. The second objective of the program has been successfully achieved. The measurement equipment with a computer and printer (required for analysis of the data collected) have been procured and installed. The Renewable Energy Corporation of Mongolia now collects the data from the measurement equipment and continues to send the data to NREL. However, completion of the first objective, preparation of wind atlas, was delayed significantly in 1999 due to another high priority wind mapping project (the Wind Powering America Initiative). The wind atlas has finally been completed and NREL has received technical review comments from Mongolia. NREL is in the process of finalizing the atlas and they plan to present the atlas at the Mongolian Renewable Energy Conference on April 17-18, 2001.

#### USAID/Mongolia Performance Data Tables – Complete Listing

A complete list of USAID/Mongolia's performance monitoring tables is provided below. Included are a series of new tables from The Competitiveness Initiative and the Judicial Reform Program. JRP activities just began in March 2001 and the JRP tables do not yet include baseline and target data. The Mission expects these data to be developed this year. The Mission also expects to develop new indicators for its IRI program which is being modified as a result of the changes in the political environment that have occurred as a result of the Mongolian elections in 2000 and their aftermath.

The Mission also expects to develop a number of new tables to replace those that have been measuring the progress under activities that have already been successfully completed. In addition, the Mission expects to develop a number of new indicators for the GREGI activity to reflect the fact that this program been changed during the past year to place greater emphasis on sound range management in the Gobi region.

Rather than creating these tables now for inclusion in the current R4, the Mission decided it was more appropriate to postpone the development of these indicators until the arrival of the new USAID/Mongolia Mission Director in the summer of 2001. The Mission will consult with USAID/Washington before finalizing the new tables.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 - 1**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: SO level indicator  
 Indicator: Private sector growth rate (in constant prices).  
 Disaggregated By: N.A.

Unit of Measure: Percentage growth

Year	Planned	Actual
1999	15%	6%
2000	20%	-0.5%
2001	25%	-
2002	30%	-
2003	35%	-

Source:  
 Mongolia State Statistical Office.

Indicator/Description:  
 The rate of growth of the private sector measured in constant dollars.

Comments:  
 The actual figure for 1999 only takes into account private sector growth in the formal sector. The 2000 data takes into account the growth generated by the informal sector.

The negative private sector growth rate in 2000 is the product of a 21.4% decline in the agricultural sector as a result of the loss of livestock in the Dzud (winter snow emergency). If only non-agricultural private sector growth is examined, to remove the effects of the Dzud, a very different and very impressive picture emerges. It shows that real value-added in the non-agricultural private sector grew by 22.1% in 2000, up significantly from the average 15.3% growth of the previous four years. The increase in 2000 primarily reflects continued strong growth in private sector transportation and communication services, the ever increasing dominance of private firms in trade and domestic commerce, and the declining market share of certain state-owned firms.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 - 2**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: SO level indicator.  
 Indicator: Number of businesses with permits or licenses in selected rural aimags - Total.  
 Disaggregated By: N.A.

Unit of Measure: Number of businesses – Total.

Year	Planned	Actual
1999	N.A.	462 (1190 revised)
2000	500 (1228 revised)	1388
2001	1302	-
2002	1432	-
2003	1575	-

Source:  
 GREGI aimag offices.

Indicator/Description:  
 The number of businesses entering the formal sector as indicated by the granting of permits to micro- and small enterprises and the granting of licenses to medium and large-scale businesses. Indicator data is reported cumulatively. Figures presented are total/women owned businesses

Comments:  
 Data for 1999-2002 covers Umnugovi and Dundgovi aimags (provinces).

The large jump between the “actual” figure reported last year and the revised figure reported above, reflects the inclusion of new data that became available in 2000 on very small business enterprises. Accordingly, the 2001-2003 targets have been revised upward.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 - 3**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: SO level indicator.  
 Indicator: Number of businesses with permits or licenses in selected rural aimags - female.  
 Disaggregated By: N.A.

Unit of Measure: Number of businesses – Female.

Year	Planned	Actual
1999	NA	75 (541 revised)
2000	95 (553 revised)	611
2001	765	-
2002	841	-
2003	926	-

Source:  
 GREGI aimag offices.

Indicator/Description:  
 The number of businesses entering the formal sector as indicated by the granting of permits to micro- and small enterprises and the granting of licenses to medium and large-scale businesses. Indicator data is reported cumulatively. Figures presented are women owned businesses.

Comments:  
 Data for 1999-2002 covers Umnugovi and Dundgovi aimags (provinces).

The large jump between the “actual” figure reported last year and the revised figure reported above, reflects the inclusion of new data that became available in 2000 on very small business enterprises. Accordingly the original 2001-2003 targets will be revised upward.



**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 - IR1 - 1**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
Objective ID: 438-001  
Approved: 1999-07-30 Country/Organization: USAID Mongolia  
Result Name: IR 1.1 Productive assets transferred to private ownership in a transparent manner.  
Indicator: Number of most valued companies (MVCs) privatized by international tender.  
Disaggregated By: N.A.

Unit of Measure: Number of MVCs

Year	Planned	Actual
1999	3	0
2000	8	0
2001	10	-
2002	10	-
2003	10	-

Source:  
Mongolian State Property Committee.

Indicator/Description:  
Most valued companies are a subset of state-owned companies. An MVC is a company more than 50% owned by the state that has the scale and potential to interest a foreign strategic investor.

Comments:  
The run-up to the national elections in July 2000 and the resulting change of government led to a temporary slow down in the USAID supported privatization program. However, in late February 2001 Parliament passed Privatization Guidelines that presented a four year strategy for privatization in Mongolia. Immediately thereafter the Cabinet agreed to the privatization of the three MVCs that have been the focus of USAID's initial efforts in this area. The planned totals have been adjusted to reflect existing realities.

## Performance Data Table

### Fiscal Year: FY2003 - 1 SO1 - IR1 -2

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Objective ID: 438-001

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: IR 1.1 Productive assets transferred to private ownership in a transparent manner.

Indicator: Average percentage over minimum price for sale of non-MVCs compared with to average price before introduction of new sealed bid format.

Disaggregated By: N.A.

Unit of Measure: Percentage over minimum price.

Year	Planned	Actual
1999	20%	24.8%
2000	15%	0.8%
2001	-	-
2002	-	-
2003	-	-

Source:

Mongolian State Property Committee.

Indicator/Description:

Before privatization minimum values are set (not less than 40% of the company's book value) to guarantee a certain revenue from the sale even in the absence of competition. The price at which the sale takes place is called the auction price. A sealed bid auction process, when working effectively, is expected to result in higher prices as willing bidders need to bid in anticipation of competition. The indicator measures the change in the differential between minimum and prices under the old system and between the minimum and prices under the new system initiated on April 21, 1999.

Comments:

Prior to the introduction of the new sealed bid format in 1999 the bid prices averaged only 0.2% above the minimum asking price. The new sealed bid format raised the average bid price to 24.8% above the minimum price, somewhat above the expected increase of 20%.

Results for 2000 were not as impressive. The reason is that Barents made much more progress in 1999 than originally anticipated and sold off almost all of the most attractive firms eligible for the sealed bid process. Relatively few small state-owned firms were put up for sale in 2000 because of a lack of parliamentary support, and those that were put on the block were in relatively poor condition and there was relatively little bidding for them. Hence, these firms attracted bids that were only a little bid over the minimum asking price.

Given that Barents work in the future is likely to focus on the larger "Most Valuable Companies" continued use of this indicator will be re-examined as part of the planned "mid-term review" of the Mongolia PMP in the summer of 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR2 - 1**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Objective ID: 438-001

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: IR 1.2 Increased efficiency of financial markets.

Indicator: Steps taken toward strengthening the banking sector.

Disaggregated By: N.A.

Unit of Measure: Number of steps

Year	Planned	Actual
1999	Steps 2&3	Steps 2&3
2000	Step 1	Step 1

Source:

Central Bank.

Indicator/Description:

Steps to strengthen the sector include: # 1) rehabilitation or liquidation (R or L) of the Agricultural Bank; # 2) R or L of the Investment and Technical Innovation Bank; # 3) R or L of the Reconstruction Bank.

Comments:

With the achievement of Step 1 in 2000, the performance targets being monitored by this indicator have been achieved. The Mission will develop a new indicator more specifically focused on the rehabilitation of the Agricultural Bank later this year for inclusion in next year's R4.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR2 - 2**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
Objective ID: 438-001  
Approved: 1999-07-30 Country/Organization: USAID Mongolia  
Result Name: IR 1.2 Increased efficiency of financial markets.  
Indicator: Steps taken toward Mongolian capital markets achieving international standards.  
Disaggregated By: N.A.

Unit of Measure: Number of steps.

Year	Planned	Actual
1999	-	-
2000	-	-
2001	-	-
2002	-	-
2003	-	-

Source:  
Parliament, the Security Commission and the State Property Committee.

Indicator/Description:  
Steps to strengthen the market include: 1) new security law passed; 2) security commission's capacity to enforce full disclosure of information and prohibition against insider trading strengthened; 3) Mongolian stock exchange is privatized; and 4) dealers/brokers form a self regulatory body. International Standards: Full information disclosure when shares are offered and insider trading is prohibited

Comments:  
USAID decided not to proceed with this activity. Hence, no data has been gathered for it.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR3 - 1**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: IR 1.3 Improved business environment.  
 Indicator: Steps taken toward restructuring and commercializing the energy sector.  
 Disaggregated By: N.A.

Unit of Measure: Number of steps.

Year	Planned	Actual
1999	Steps 2-5	Steps 2-3
2000	Steps 6-7	Step 4

Source:  
 Ministry of Infrastructure Development, Parliament, and regulatory agencies.

Indicator/Description:  
 Steps include: # 1) agenda developed; # 2) consensus of major stakeholders achieved; #3) energy law drafted; #4) energy law passed; #5) legal establishment of a regulatory agency; #6) unbundling of generation, transmission and distribution functions; and #7) regulatory agency commences operations.

Comments:  
 Step 1 was completed in 1998. The Energy Law was passed in February 2001 and it will take effect on April 15, 2001. The legal establishment of the energy regulatory agency will follow shortly thereafter. USAID expects that it will take 1-2 years for the regulatory agency to become fully operational. The GOM has been instructed by Parliament to commence the unbundling of generation, transmission and distribution functions immediately, within the framework established by the new Energy Law and to complete this process within 2001. However, it is likely to extend into 2002.

Thus, while the time period originally allotted for the achievement of the steps associated with this indicator has proven to be overly optimistic, the Mission remains confident that the steps will be achieved by the end of the strategy period.

Particular attention will be paid to this indicator in the planned "mid-term review" of the Mongolia PMP in the summer of 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR3 - 2**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: IR 1.3 Improved business environment.  
 Indicator: Number of superior male breeding goats.  
 Disaggregated By: N.A.

Unit of Measure: Number of goats.

Year	Planned	Actual
1999	300	300
2000	1,155	563
2001	1,080	-
2002	1,200	-
2003	1,200	-

Source:  
 ACDI/VOCA.

Indicator/Description:  
 These animals are pure Mongolian Cashmere goats. They are being produced under the Cashmere Breed Improvement Program, which seeks to raise the quality of cashmere produced in Mongolia.

Comments:  
 In the spring of 2000, 1660 male goats were born. A culling rate of 75% was used to select the most superior kid bucks to sell for the 2001 year, thus 420 superior breeding male goats were available. In addition, 143 superior breeding males were selected by national research making a total of 563 superior goats available.

In the spring of 2001, 2200 male goats are expected to be born. A culling rate of 75% will yield 550 superior male kids. The total includes this 550 plus the 563 from the previous year – assuming a death rate of 5%. In the spring of 2002, the number of male goats born is expected to be slightly higher due to the young superior breeding does (females) entering the flock for the first time. The total number of breeding does will increase only slightly due to older does being culled.

The program did not reach its target of 1,155 goats because of an outbreak of Agalactia in one of the program sites. (Agalactia is a contagious disease affecting small ruminants such as goats and sheep). This meant that no superior goats could be produced in this locality. The second reason the number of goats fell short of the planned target was that a second site decided to “over cull” above the 75% rate. Nonetheless, the production of 563 goats is still quite successful considering that there were only 1,000 additional superior goats available in the entire country.

Particular attention will be paid to this indicator in the planned “mid-term review” of the Mongolia PMP in the summer of 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR3 - 3**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: IR1.3 Improved business environment.  
 Indicator: Steps taken toward the development and implementation of an improved national pension plan (NPP).  
 Disaggregated By: N.A.

Unit of Measure: Steps taken.

Year	Planned	Actual
1999	Step 4	Step 4
2000	Steps 5&6	Steps 5&6
2001	-	-
2002	-	-
2003	-	-

Source:  
 State Social Insurance General Office and Parliament.

Indicator/Description:  
 Steps include: 1) conceptualization of new NPP completed; 2) consensus of major stakeholders achieved; 3) legislation drafted; 4) pension legislation passed; 5) information and management system in place; 6) issuance of statements to individual participants in pension plan.

Comments:  
 Steps 1-3 were taken in 1998. With the achievement of Steps 5&6 in 2000, the performance targets being monitored by this indicator have been achieved. The Mission will develop a new indicator to measure the achievement of this IR later this year.

A successor to this indicator will be developed as part of the planned “mid-term review” of the Mongolia PMP in the summer of 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR3 - 4**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Objective ID: 438-001

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: IR 1.3 Improved business environment.

Indicator: Number of entrepreneurs in selected rural aimags receiving market based loans disaggregated by gender. (Total/ females.)

Disaggregated By: Gender.

Unit of Measure: Cumulative number of entrepreneurs by gender and the percent default rate.

Year	Planned	Actual
1999	-	268/44
2000	278/48	105/28
2001	1302/765	-
2002	1432/841	-
2003	1575/926	-

Source:

MCI on-lending credit agency.

Indicator/Description:

Market-based loans refer to an interest rate for loans that is based on: the assumed cost of money; 2) the risk to the loaner; 3) the cost of administration; and 4) the inflation rate.

Comments:

During the year very few commercial loans were extended by commercial banks in the Gobi aimags. It is anticipated that if the rehabilitation of the Mongolian Agricultural bank proceeds as planned and Govin Ekhel continues to expand, it will be possible to reach the 2001 targets.

The planned and actual data for 1999 and 2000 covers Umnugovi and Dundgovi aimags. The planned targets for 2001-2003 cover Umnugovi, Dundgovi, Uvurhangai and Govi-Altai.



**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR3 - 5**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: IR 1.3 Improved business environment.  
 Indicator: Number of people in selected rural aimags listening to and/or reading current business news (total/female).  
 Disaggregated By: Gender

Unit of Measure: MCI and partners.

Year	Planned	Actual
1999	-	3,081/1,207
2000	20,846/9,543	74,360/38,350
2001	148,388/76,46	-
2002	175,225/87,611	-
2003	189,450/94,725	-

Source:  
 MCI and partners.

Indicator/Description:  
 Number of people reading the Gobi Business Newspaper and listening to the Gobi Business News both developed by the GREGI team.

Comments:  
 The rapidly growing readership and listenership of Gobi Business News magazine and radio programs are among the most significant recent achievements of the USAID/Mongolia program.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR3 - 6**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Objective ID: 438-001

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: 1.3 Improved business environment.

Indicator: Number of soums in selected rural aimags in which privatized veterinary services continue to be provided.

Disaggregated By: N.A.

Unit of Measure: Number of soums.

Year	Planned	Actual
1999	17	20
2000	15	19
2001	15	-
2002	15	-
2003	15	-

Source:

ACDI/VOCA

Indicator/Description:

Privatized veterinary services provided by those veterinarians who pay for their own licenses, procure their own drugs and equipment, provide services to herders, and charge a fee for service.

Comments:

Since 1999 the number of veterinary practices has decreased by one. All other clinics are still in business with little change in ownership. The decrease in the number of operating clinics was expected since the livestock treated by a single clinic is expected to increase and competition should lead to eventual consolidation of clinics. This has not happened to date. Soums have been able to maintain their veterinary practices and provide services. ACDI/VOCA veterinary supply and equipment distribution has increased inventory and therefore services provided by veterinarians.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR3 - 7**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: 1.3 Improved business environment.  
 Indicator: Mongolian trade and investment linkages.  
 Disaggregated By: N.A.

Unit of Measure: Number of linkages.

Year	Planned	Actual
1999	5	3
2000	5	10
2001	5	-
2002	5	-
2003	5	-

Source:  
 Global Technology Network/Mongolia.

Indicator/Description:  
 Linkages are either: 1) direct purchase of U.S. products or services; 2) partnerships in bidding for tender in Mongolia; 3) agencies/dealerships of U.S. products and/or services; and 4) equity investments and/or joint venture partnerships.

Comments:  
 Linkages occurred in the fields of construction, building supplies, beverages, and garments.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR3 - 8**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: 1.3 Improved business environment.  
 Indicator: Processed and manufactured cashmere export earnings (price adjusted by subtracting the cost of the raw material content.  
 Disaggregated By: N.A.

Unit of Measure: U.S. dollar value.

Year	Planned	Actual
1999	-	-
2000	-	\$6,386,683
2001	\$7,025,351	-
2002	\$8,079,153	-
2003	\$9694,984	-

Source: Customs Statistics.

Indicator/Description:

Annual foreign exchange earnings from processed and manufactured cashmere exports, adjusted for raw material price fluctuations.

Comments:

The cost of the raw material content is deducted from the total export value to reduce fluctuations caused by world cashmere prices. The adjustment takes into account a percentage of raw cashmere procured in the previous year but sold as a finished good in the following, a price lag for raw material input.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR3 - 9**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Objective ID: 438-001

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: 1.3 Improved business environment.

Indicator: Total meat export earnings.

Disaggregated By: N.A.

Unit of Measure: U.S. dollar value in millions.

Year	Planned	Actual
1999	-	-
2000	-	\$17.22
2001	\$22.0	-
2002	\$26.0	-
2003	\$31.0	-

Source:

Customs Statistics.

Indicator/Description:

Annual foreign exchange value/earnings from meat exports.

Comments:

Using a straight trend line for performance between 1996-2000, projected meat export growth on the same slope would result in values of \$20.0 million in 2001, \$22.75 million in 2002, and \$26.23 in 2003. Targets are set for a marked increase in the slope. External assumptions include having in place a functioning meat inspection system by August 2001 and successful government to government negotiations for access to Chinese markets and for transit of animal products through China.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR3 - 10**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: 1.3 Improved business environment.  
 Indicator: Tourist arrivals from countries other than China and Russia.  
 Disaggregated By: N.A.

Unit of Measure: Number of arrivals.

Year	Planned	Actual
1999	-	-
2000	-	21,862
2001	22,000	-
2002	23,320	-
2003	25,652	-

Source:  
 Mongolian Tourism Board and Mongolia Border Troops Association.

Indicator/Description:  
 Annual number of tourist arrivals from countries other than Russia and China.

Comments:  
 This indicator is a proxy for growth in foreign exchange from tourism, since reliable data on actual earnings are not available. The trend in arrivals has been a steady decline over the last three years (-5.91%). The 2001 target is to reverse the decline, and in 2002 to begin growth recovery of 6% and then 10% in 2003.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR3 - 11**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth  
Objective ID: 438-001  
Approved/: 1999-07-30 Country/Organization: USAID Mongolia  
Result Name: 1.3 Improved business environment.  
Indicator: Steps taken to improve business environment for cashmere, meat and tourist industries.  
Disaggregated By:

Unit of Measure: Steps taken.

Year	Planned	Actual
1999		
2000		Step 1
2001	Step 2	-
2002	Step 3	-
2003	Step 3	-

Source:  
TCI monitoring.

Indicator/Description:  
Steps include: Substantial steps taken to improve the business environment for exporting industries by the public sector or by private sector associations or business clusters. Steps will include: 1) formal public-private dialogue mechanisms established in the following three target industries: cashmere, meat and tourism; 2) priority actions identified and implemented for each target industry, for example, implementation of a meat inspection system, launch of a collective trademark for cashmere, or landing rights granted for an international carrier or charter flights; 3) important policy changes supported by TCI adopted and implemented.

Comments:  
This activity is on track.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR4 - 1**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth  
Objective ID: 438-001  
Approved: 1999-07-30 Country/Organization: USAID Mongolia  
Result Name: 1.4 Improved management of natural resource base for long-term sustainable use.  
Indicator: First, number of hectares under conservation tillage in selected rural aimags, and second, the productivity per hectare on land where conservation tillage is practiced.  
Disaggregated By:

Unit of Measure: Number of hectares and tons per hectare.

Year	Planned	Actual
1999	2,000 ha. 1.5 tons/ha.	1,000 ha. 0.5 tons/ha.
2000	5,000 ha. 2.6 tons/ha.	1,242 ha. 0.5 tons/ha.
2001	20,000 ha. 2.6 tons/ha.	-
2002	20,000 ha. 2.6 tons/ha.	-
2003	20,000 ha. 2.6 tons/ha.	-

Source:  
ACDI/VOCA.

Indicator/Description:  
Conservation tillage means practices for managing the land in a manner that halts soils erosion or loss of fertility. Practices include: 1) no till; 2) minimum till; 3) chemical fallow; and 4) planting of alternative nitrogen fixing crop cover in fallow. This last practice can be used with either of the three other practices. The indicator measures hectares of land in Mongolia's wheat growing region that are planted and managed using one of these practices. The other part of the indicator measures the tons per hectare on the same land where the above conservation tillage practices are used.

**Comments:**

Chemical fallow as the new practice implemented by the farmers. Roundup application on the chemical fallow showed good results killing many of the tough perennial weeds, not destroyed by the mechanical tillage of fallow. The use of U.S. sprayers supplied by ACDI/VOCA facilitated the good quality of chemical fallow. With the improved quality of the 2000 fallow, there is an expectation of a higher yield in 2001. The yields in 1999 and 2000 were seriously affected by two years of drought. It is estimated that drought occurs 4 out of every 10 years in Mongolia. The drought is not expected in 2001, as it does not usually continue several years in a row.

Particular attention will be paid to this indicator in the planned "mid-term review" of the Mongolia PMP in the summer of 2001.



**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR4 - 2**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth  
 Objective ID: 438-001  
 Approved: 1999-07-30 Country/Organization: USAID Mongolia  
 Result Name: 1.4 Improved management of natural resource base for long-term sustainable use.  
 Indicator: Steps taken toward reducing the number of livestock in selected rural aimags.  
 Disaggregated By:

Unit of Measure: Steps taken.

Year	Planned	Actual
1999	-	-
2000	Steps 1&2	Step and 2 completed. Step 3 begun in each of the aimags.
2001	Steps 3&4	-
2002	Step 5	-
2003	-	-

Source:  
 Mercy Corps and partners.

Indicator/Description:  
 Steps include: 1) reduction in the number of goats belonging to targeted herders; 2) herder education program implemented; 3) negotiations with local governors and government on incentives to size of goat and other livestock herds; 4) regulations implemented by local government; 5) reduction in the number of goats and other livestock in selected soums. Other steps to be defined at a later date.

Comments:  
 This activity is on track.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO1 – IR4 - 3**

---

Objective Name: Accelerate and broaden environmentally sound private sector growth.

Objective ID: 438-001

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: 1.4 Improved management of the natural resource base for long-term sustainable use.

Indicator: Steps taken toward implementing an improved land use plan in Lake Hovsgol Park.

Disaggregated By: N.A.

Unit of Measure: Steps taken.

Year	Planned	Actual
1999	-	-
2000	Steps 1, 2 & 3	No steps taken.
2001	-	-
2002	-	-
2003	-	-

Source:

U.S. Department of the Interior.

Indicator/Description:

Steps include: 1) guidance for land use developed; 2) guidance approved by Ministry of Nature and Environment; 3) guidance implemented for Lake Hovsgol Park.

Comments:

As noted in R4 text, while the Lake Hovsgol Project has been successful in improving the overall management of the Hovsgol Park and in sensitizing local populations to environmental issues, the GOM has not proceeded to improve the legal or regulatory structure to address natural resource issues. As a result there has been no progress under this indicator, although there have been some progress under the broader activity.

This indicator will be re-examined in the planned "mid-term review" of the Mongolia PMP in the summer of 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 - 1**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-30

Country/Organization: USAID Mongolia.

Result Name: SO level indicator.

Indicator: Rural civil society organizations (RCSOs) perceptions of meaningful engagement with Parliament and government.

Disaggregated By: N.A.

Unit of Measure: Scale of 1-5: 1=no responsiveness; 2=very limited response; 3=some two-way discussion; 4=substantive two-way interchange; 5=government seriously considers RCSOs in decision making.

Year	Planned	Actual
1999	NA	1.0
2000	1.5	*
2001	2.5	-
2002	3.0	-
2003	4.5	-

Source:

Mercy Corps and partners in cooperation with RCSOs.

Indicator/Description:

RCSOs refer to organizations with which USAID is working, have a rural focus, significant rural membership and have attempted to engage Parliament and government in advocacy on issues of significance to their members. Each RCSO will be asked only about its own experiences. See scale above.

Comments:

\* In the final July 1999 Performance Monitoring Plan USAID and Mercy Corps agreed to begin collecting data on this indicator in 2001. Thus, in next year's R4 the Mission hopes and expects to report that RCSOs achieved an average score of 2.5 or better.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 - 2**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-31

Country/Organization: USAID Mongolia.

Result Name: SO level indicator.

Indicator: National elections (parliamentary and presidential) are fair and free and provide meaningful choice to voters.

Disaggregated By: N.A.

Unit of Measure: Yes/No

Year	Planned	Actual
1999	NA	NA
2000	Yes	Yes
2001	Yes	-
2002	NA	NA
2003	NA	NA

Source:

IRI and the Mongolian central election commission.

Indicator/Description:

"Fair and free" is broadly understood terminology that incorporates key principles including political parties are free to participate without hindrance from the state; that no party makes unfair use of the state apparatus and that parties provide meaningful choice to voters through offering clear issue-oriented policy platforms.

Comments:

Mongolia has a presidential election scheduled for June 2001. The Mission expects to replace this indicator with another SO-level indicator after the 2001 results have been reported.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR1 - 1**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-31

Country/Organization: USAID Mongolia

Result Name: IR 2.1 Establish the foundation of an effective rural civil society.

Indicator: Number of aimags that demonstrate improvement in the identification and implementation on joint local government/RCSO action plans.

Disaggregated By:

Unit of Measure: Number of aimags.

Year	Planned	Actual
1999	NA	3
2000	4	4
2001	4	-
2002	6	-
2003	6	-

Source:

Mercy Corps and partners.

Indicator/Description:

"Demonstrated improvement" is measured by the following steps taken: 1) meetings of interested local actors determine action plan; 2) public and stakeholder education in support of the plan; 3) an action plan decided by a process of consensus; 4) allocation of responsibilities to subcommittees for aspects of the plan; 5) implementation of the plans; and 6) usage of the facility or services envisioned in the plan.

Comments:

The aimags are Umnugovi, Dundgovi, Govi-Altai, and Uvurhangai.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR1 - 2**

---

Objective Name: Consolidate Mongolia's democratic transition

Objective ID: 438-002

Approved: 1999-07-31

Country/Organization: USAID Mongolia

Result Name: IR 2.1 - Establish the foundation of an effective rural civil society.

Indicator: Number of soums that demonstrate improvement in the identification and implementation on joint local government/RCSO action plans.

Disaggregated By:

Unit of Measure: Number of soums.

Year	Planned	Actual
1999	0	4
2000	8	5
2001	8	-
2002	30	-
2003	45	-

Source:

Mercy Corps and partners.

Indicator/Description:

"Demonstrated improvement" is measured by the following steps taken: 1) meetings of interested local actors determine action plan; 2) public and stakeholder education in support of the plan; 3) an action plan decided by a process of consensus; 4) allocation of responsibilities to subcommittees for aspects of the plan; 5) implementation of the plans; and 6) usage of the facility or services envisioned in the plan.

Comments:

The shortfall at the soum level is the result of the mid-year decision to re-orient the GREGI program to place greater emphasis on the role of the private sector (including micro-enterprise) and more effective range management practices in the development of the Gobi region. As a result, later this year, the Mission will consider selecting an alternative indicator to use in reporting on progress under this IR.

The soums are located in Umnugovi, Dundgovi, Govi-Altai, and Uvurhangai aimags.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR1 - 3**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: IR 2.1 Establish the foundations for an effective rural civil society.

Indicator: Number of rural civil society organizations (RCSOs) improving their record on the Advocacy Index at the national level.

Disaggregated By:

Unit of Measure: Number of RCSOs.

Year	Planned	Actual
1999	-	0
2000	3	3
2001	3	-
2002	4	-
2003	4	-

Source:

Mercy Corps and partners.

Indicator/Description:

Components of the index include: 1) RCSO has proven track record of concern for rural communities/issues and has significant rural membership; 2) RCSO organization, capacity and accountability; 3) issue is timely; 4) collects information and input about the issue; 5) formulates a policy position; 6) obtains or allocates resources for advocacy; 7) coalition and network building to obtain cooperative efforts for joint action; 8) builds public opinion; 9) takes actions to influence policy or other aspects of the issue; and 10) follow up actions after a policy decision is made to foster implementation and or maintain public interest.

Comments:

Despite meeting the planned target achievements under this indicator have not been quite as successful as anticipated. This is because the three rural civil society organizations that have improved their advocacy ability have been based in Ulaanbaatar rather in the Gobi aimags. GREGI plans to devote more attention to developing the advocacy skills of Gobi-based RCSOs in the coming year.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR2 - 1**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-31

Country/Organization: USAID Mongolia.

Result Name: IR 2.2 Improve the effectiveness of Parliament, political parties and the judiciary.

Indicator: Steps taken toward the establishment of an independent judiciary.

Disaggregated By:

Unit of Measure: Number of steps taken.

Year	Planned	Actual
1999	Step 1	Step 1
2000	Steps 2,3,&4	Steps 2,3,&4
2001	NA	NA
2002	NA	NA
2003	NA	NA

Source:

Information will be derived from interviews with those associated with the USAID reform initiative and with other judges and lawyers as well as by reference to relevant documents.

Indicator/Description:

Steps include: 1) national conference on the independence of the judiciary; 2) strategic plan drawn up; 3) allocation of responsibilities to subcommittees; 4) action plans (including priorities) designed by subcommittees.

Comments:

The performance goals being monitored by this indicator have now been achieved. Later this year the Mission will develop one or more indicators more specifically focused on high-level results from the Mission's new Judicial Reform Program for inclusion in next year's R4.



**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR2 - 2**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: IR 2.2 Improve the effectiveness of Parliament, political parties and the judiciary.

Indicator: Political party internal democracy and effectiveness index.

Disaggregated By: N.A.

Unit of Measure: Average index score between 0 and 50.

Year	Planned	Actual
1999	-	33
2000	36	36.8
2001	38.5	-
2002	41	-
2003	41	-

Source: IRI in cooperation with a panel.

Indicator/Description:

The elements of the index's internal democracy component include: 1) elections to party office and selection of candidates for election regular and open; 2) local autonomy; 3) women's groups included; 4) other constituent groups included such as youth and elderly; 5) research/polling of members on a regular basis and on significant issues. The elements of the index's effectiveness component include: 1) message development; 2) structure and by-laws developed, clear and followed; 3) fund raising amounts and number of donors; 4) party platform relevance, issue orientation and clarity; and 5) membership.

Comments:

This indicator, as well as the other IRI indicators will be re-examined as part of the planned "mid-term review" of the Mongolia PMP in the summer of 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR2 - 3**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-002

Approved: 1999-07-30

Country/Organization: USAID Mongolia

Result Name: IR 2.2 Improve the effectiveness of Parliament, political parties and the judiciary.

Indicator: Number of public meetings organized by Parliament.

Disaggregated By: N.A.

Unit of Measure: Number of public meetings.

Year	Planned	Actual
1999	-	1,085
2000	1,350	1,480
2001	1,600	-
2002	1,800	-
2003	1,800	-

Source:

IRI

Indicator/Description:

"Public meetings" include public hearings, town meetings, press conferences and other gatherings organized by Parliament in order to consult with the public, or with people with specific interests and/or expertise in particular legislation or issues. For a public meeting to be counted it must fulfill the following conditions: the meeting should be preceded by clear and reasonable advance notice to the public or interested parties; members of the public must be given a reasonable opportunity at the meeting to raise questions, speak and respond; and the press must be invited

Comments:

This indicator, as well as the other IRI indicators will be re-examined as part of the planned "mid-term review" of the Mongolia PMP in the summer of 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR2 - 4**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-001

Approved: 2001-01-26

Country/Organization: USAID Mongolia

Result Name: IR 2.2. Improve the effectiveness of Parliament, political parties and the judiciary.

Indicator: Average time from filing to disposition of new cases, disaggregated by civil/criminal cases.

Disaggregated By: N.A.

Unit of Measure: Number of months.

Year	Planned	Actual
1999	-	-
2000	-	-
2001	-	-
2002	-	-
2003	-	-

Source:

NCSC and the Mongolian General Council of the Courts.

Indicator/Description:

The average time of all cases disposed of in the last 12 months between the time when a case was filed and when it was disposed.

Disaggregated by type of case, criminal or civil.

Comments:

The activities being monitored by this indicator just began in March 2001. USAID and NCSC have agreed that baseline data and targets will be developed by June 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR2 - 5**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-001

Approved: 2001-01-26

Country/Organization: USAID Mongolia

Result Name: IR 2.2. Improve the effectiveness of Parliament, political parties and the judiciary.

Indicator: Percentage of citizens who say they believe the courts are functioning effectively both with regards to criminal and civil cases.

Disaggregated By: N.A.

Unit of Measure: Number of months.

Year	Planned	Actual
1999	-	-
2000	-	-
2001	-	-
2002	-	-
2003	-	-

Source:

NCSC and the Mongolian General Council of the Courts.

Indicator/Description:

A precise definition of "effectiveness" will be developed for the baseline survey.

Comments:

The activities being monitored by this indicator just began in March 2001. USAID and NCSC have agreed that baseline data and targets will be developed by June 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR2 - 6**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-001

Approved: 2001-01-26

Country/Organization: USAID Mongolia

Result Name: IR 2.2. Improve the effectiveness of Parliament, political parties and the judiciary.

Indicator: Number of filings in criminal courts, civil courts and specialty courts.

Disaggregated By: N.A.

Unit of Measure: Number of filings.

Year	Planned	Actual
1999	-	-
2000	-	-
2001	-	-
2002	-	-
2003	-	-

Source:

NCSC and the Mongolian General Council of the Courts.

Indicator/Description:

Criminal and civil courts exist at the national, aimag, intersoum and soum levels. Specialty courts do not exist yet but are expected to be created at the aimag, inter-soum and soum levels.

Comments:

The activities being monitored by this indicator just began in March 2001. USAID and NCSC have agreed that baseline data and targets will be developed by June 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR2 - 7**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-001

Approved: 2001-01-26

Country/Organization: USAID Mongolia

Result Name: IR 2.2. Improve the effectiveness of Parliament, political parties and the judiciary.

Indicator: General Council of the Courts organizational capacity assessment index.

Disaggregated By: N.A.

Unit of Measure: Scale ranging from 1-36.

Year	Planned	Actual
1999	-	-
2000	-	-
2001	-	-
2002	-	-
2003	-	-

Source:

Team of experts organized by NCSC.

Indicator/Description:

The elements of the index will include: 1) leadership; 2) management practices; 3) human resources; 4) financial resources; 5) service delivery; and 6) external relations. Each of these elements will be scored on a six point scale: 1= needs urgent attention and improvement; 2 = needs attention; 3 = needs improvement; 4 = needs improvement in limited aspects but not major or urgent; 5 = room for improvement; 6 = no need for immediate improvement.

Comments:

The activities being monitored by this indicator just began in March 2001. USAID and NCSC have agreed that baseline data and targets will be developed by June 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR2 - 8**

---

Objective Name: Consolidate Mongolia's democratic transition.

Objective ID: 438-001

Approved: 2001-01-26

Country/Organization: USAID Mongolia

Result Name: IR 2.2. Improve the effectiveness of Parliament, political parties and the judiciary.

Indicator: Steps taken toward the establishment of a sustainable case tracking and management (CTM) system.

Disaggregated By: N.A.

Unit of Measure: Steps taken.

Year	Planned	Actual
1999	-	-
2000	-	-
2001	-	-
2002	-	-
2003	-	-

Source:

NCSC.

Indicator/Description:

Steps/milestones will include: 1) evaluation of past CTM work of other donors and the MOJ; 2) establishment of priorities for a new CTM system; 3) creation of a CTM user group; 4) development of CTM training plans; 5) successful testing of the CTM system in one or more pilot courts; 6) replication of the CTM system to cover additional courts.

Comments:

The activities being monitored by this indicator just began in March 2001. USAID and NCSC have agreed that baseline data and targets will be developed by June 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR2 - 9**

---

Objective Name: Consolidate Mongolia's democratic transition

Objective ID: 438-001

Approved: 2001-01-26

Country/Organization: USAID Mongolia

Result Name: IR 2.2. Improve the effectiveness of Parliament, political parties and the judiciary.

Indicator: Steps taken to clarify and rationalize responsibilities and jurisdictions of courts and justice system agencies.

Disaggregated By: N.A.

Unit of Measure: Number of steps.

Year	Planned	Actual
1999	-	-
2000	-	-
2001	-	-
2002	-	-
2003	-	-

Source:

NCSC.

Indicator/Description:

Steps/milestones will include: 1) sponsorship of one or more stakeholder workshops to discuss the responsibility/jurisdiction issue; 2) development of draft regulations/legislation to rationalize responsibilities/jurisdictions; 3) adoption of implementing regulations and/or passage of implementing legislation; 4) provision of technical assistance to help implement the regulations/legislation.

Comments:

The activities being monitored by this indicator just began in March 2001. USAID and NCSC have agreed that baseline data and targets will be developed by June 2001.



**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR2 - 10**

---

Objective Name: Consolidate Mongolia's democratic transition

Objective ID: 438-001

Approved: 2001-01-26

Country/Organization: USAID Mongolia

Result Name: IR 2.2. Improve the effectiveness of Parliament, political parties and the judiciary.

Indicator: Steps taken to establish a continuing education legal training center to serve the entire community of legal professional in Mongolia.

Disaggregated By: N.A.

Unit of Measure: Number of steps

Year	Planned	Actual
1999	-	-
2000	-	-
2001	-	-
2002	-	-
2003	-	-

Source:

NCSC.

Indicator/Description:

Steps will include: 1) assessment of past legal training activities of other donors and the MOJ; 2) development of priorities for continuing legal education; 3) definition of the mission, staffing arrangements and operating procedures of the LTC; 4) development of LTC curricula, reference materials and training assessment materials; 5) completion of LTC faculty training; 6) acquisition of the LTC facility (undertaken simultaneously with steps 1-5 by the MOJ); 7) initiation of LTC operations; and 8) provision of TA to strengthen the LTC.

Comments:

The activities being monitored by this indicator just began in March 2001. USAID and NCSC have agreed that baseline data and targets will be developed by June 2001.

**Performance Data Table**  
**Fiscal Year: FY2003**  
**SO2 – IR2 - 11**

---

Objective Name: Consolidate Mongolia's democratic transition

Objective ID: 438-001

Approved: 2001-01-26

Country/Organization: USAID Mongolia

Result Name: IR 2.2. Improve the effectiveness of Parliament, political parties and the judiciary.

Indicator: Steps taken to develop and operationalize a standardized qualifying system for lawyers.

Disaggregated By: N.A.

Unit of Measure: Steps taken.

Year	Planned	Actual
1999	-	-
2000	-	-
2001	-	-
2002	-	-
2003	-	-

Source:

NSCS and the Mongolian General Council of the Courts.

Indicator/Description:

Steps/milestones will include: 1) development of the qualifying system; 2) testing the system; 3) universal application of the system.

Comments:

The activities being monitored by this indicator just began in March 2001. USAID and NCSC have agreed that baseline data and targets will be developed by June 2001.

## **Information Annex Topic: Updated Results Framework Annex**

### **Part A. Results Framework.**

**Mission Program Goal:** A market-oriented and democratic society established in Mongolia.

**Strategic Objective 1 (438-001-01):** Accelerated and broadened environmentally sound private sector growth.

**IR 1.1:** Productive assets transferred to private ownership in a transparent manner.

**IR 1.2:** Increased efficiency of financial markets.

**IR 1.3:** Improved business environment.

**IR 1.4:** Improved management of natural resource base for long-term sustainable use.

**Strategic Objective 2 (438-002-01):** Consolidate Mongolia's democratic transition.

**IR 2.1:** Establish the foundation of an effective rural civil society.

**IR 2.2:** Improve the effectiveness of parliament, political parties and the judiciary.

**Part B. New Indicator Reporting.** Provide a report of indicators from the Operating Unit's Performance Monitoring Plan that the Operating unit proposes to report on in next year's R4 submission which are different from the indicators currently being reported.

**\*\*This applies to on-going strategies only.** Indicators that will be used next year as part of a newly approved strategy need not be listed here.

As indicated earlier in this document, the Mission intends to develop a number of new indicators for next year's R4. Two indicators will be replaced are: 1) steps taken toward strengthening the banking sector; and 2) steps taken toward the establishment of an independent judiciary. The indicators are being replaced because the steps associated with them were achieved on schedule in 2000.

In addition, there is a need to re-examine a number of other indicators in the Mission's PMP because parts of the program have been re-oriented since the PMP was originally developed (specifically the GREGI initiative and the IRI activity).

The Mission proposes to undertake this re-examination of the Performance Monitoring Plan later this summer after the arrival of the new Mission Director. This exercise will provide the new director with an in-depth introduction to Mission's program performance targets and give him an opportunity to begin shaping the program shortly after his arrival. The Mission will ask USAID/Washington to review any revisions that result from this "mid-term review" of the PMP.

SO Name

**Indicator Level:** Strategic Objective

Current Indicator Name

Proposed Indicator Name

	Actual	Planned
Baseline Year		
Target 2002		
Target 2003		

## Information Annex Topic: Institutional and organizational development

**What the information annex will be used for:** prepare the cross-cutting theme chapter of the FY 2000 Performance Overview. The 2000 revision of the Agency Strategic Plan includes five cross-cutting themes in addition to the six Agency goals and the management goal. It also includes a commitment to report on one of the themes in depth in the Performance Overview each year. Institutional and organizational development has been chosen as the theme to be reported on in the 2000 Performance Overview.

The Performance Overview chapter aims to document the following points, based on the information requested:

- \* support for institutional and organizational development is systematically programmed in results frameworks for the majority of Agency OUs;
- \* support for institutional and organizational development systematically cross-cuts Agency goal areas in OU programs;
- \* institutional and organizational development support is provided to public sector, private for-profit and private non-profit organizations consistent with program objectives;
- \* a variety of types of capacity-building (e.g., financial accountability and sustainability, management and

**Guidelines for Identifying Institutional Capacity Development.** An institutional development IR should contain two elements: (1) the name of the overarching institution concerned and (2) the change taking place. IRs Institutions are defined as the "rules of the game" and the measures for enforcing those rules. In other words, for our purposes, institutions refer to the broad political and economic context within which development processes take place. These include policies, laws, regulations, and judicial practices. They also refer to less tangible practices like corruption, presence or lack of transparency and accountability. The rules and norms we are concerned with are political and economic, not social. Not every IR about policy is to be called institutional development. If the IR is about adopting/implementing a specific policy, it is not institutional development-- it falls under the goal area for the sector it addresses. Include only IRs about changing the

**Guideline for Identifying Organizational Capacity Development IRs.** The IR should have these elements: (1) It must name or allude to a specific organization or type of organization (an organization is a group of individuals bound by some common purpose to achieve objectives) and (2) it has to how or what action is being done to develop the organization.

## MONGOLIA03INST.XLS

Verification	Objective ID	IR No.	IR name	Indicators	Public sector	Private for profit	Private non-profit
Y	438-001	IR1.2	Increasing the efficiency of the financial markets (1)	Steps taken toward strengthening the banking sector.	Y	N	N
Y	438-001	IR1.3	Improved business environment (2)	Steps taken toward restructuring and commercializing the energy sector.			
Y	438-001	IR1.3	Improved business environment (3)	Steps taken toward the development and implementation of an improved national pension plan	Y	N	N
Y	438-001	IR1.3	Improved business environment (4)	Number of entrepreneurs in selected rural aimags receiving market-based	N	N	Y
Y	438-001	IR1.3	Improved business environment (5)	Number of people in selected rural aimags listening to and/or reading current business news			Y
Y	438-001	IR1.3	Improved business environment (6)	Number of soums in selected rural aimags in which privatized veterinary services continue to be provided	N	Y	N
Y	438-001	IR1.4	Improved management of the natural resource base for long-term sustainable use. (7)	Steps taken towards implementing an improved land-use plan in Lake Hovsgol Park.	Y	N	N
Y	438-002	SO2	Consolidate Mongolia's democratic transition. (8)	Rural civil society organizations perceptions of meaningful engagement with parliament and governors	Y	N	N
Y	438-002	IR2.1	Establish the foundations for an effective rural civil society. (9)	Number of rural civil society organizations improving their record on the Advocacy Index at the national level.	Y	N	N
Y	438-002	IR2.2	Improve the effectiveness of Parliament, political parties and the judiciary. (10)	Political party internal democracy effectiveness index.	N	N	Y
Y	438-002	IR2.2	Improve the effectiveness of Parliament, political parties and the judiciary. (11)	Number of public meetings organized by Parliament.	Y	N	N
Y	438-002	IR2.2	Improve the effectiveness of Parliament, political parties and the judiciary. (12)	General Council of the Courts organizational capacity index.	Y	N	N
Y	438-002	IR2.2	Improve the effectiveness of Parliament, political parties and the judiciary. (13)	Steps taken to establish a continuing legal training center to serve the entire community of legal professionals in	N	N	Y

## MONGOLIA03INST.XLS

[illegible]



<b>Instructions</b>						
Using the definitions of institutional and organizational development stated on the Definitions tab on this Excel workbook, OUs are required to: verify that the IRs and indicators identified for their programs fall within the definition of institutional and/or organizational development provided, correct the list as necessary to add or delete IRs and indicators that match the definition, and identify the recipients of institutional and organizational development support as public sector, private for-profit, private non-profit, marking all that apply in each case. Correct the IR list as necessary to add IRs that match the definition or to delete IRs that do not or that are no longer part of your results framework.						
<b>Verification</b>						
Codes: Y - IR falls within the definition N - IR does not fall with the defintion X - This IR has been changed, modified, or dropped.						
<b>Public sector, private for profit, and private non-profit</b>						
Codes:						
Y - Yes						
N - No						